

**THE GEORGE WASHINGTON UNIVERSITY**  
Washington, D.C.

**MINUTES OF THE REGULAR MEETING  
OF THE FACULTY SENATE HELD ON  
APRIL 9, 2004 IN THE MARVIN CENTER, ROOM 310**

**Present:** President Trachtenberg, Vice President Lehman, Registrar Geyer, and Parliamentarian Pagel; Deans Frawley, Futrell, and Tong; Professors Briscoe, Castleberry, Cordes, Friedenthal, Gallo, Garris, Griffith, Harrington, Klarén, Lee, Marotta, Paup, Robinson, Shambaugh, Simon, Watson, Wilmarth, and Wirtz

**Absent:** Deans Harding, Katz, Phillips Scott, Whitaker and Young; Professors Englander, Gupta, Packer, Paratore, Sell, Swiercz, and Zaghloul

The meeting was called to order by President Trachtenberg at 2:20 p.m. A short adjournment was declared in order to have the annual photograph of the Senate taken.

**APPROVAL OF THE MINUTES**

On behalf of Professor Ginger Smith, Professor Robinson moved amendments to the March 12, 2004 minutes as follows: (1) On Page 6, second paragraph, line 4: Replace "Hall of States in the Kennedy Center" with "Hall of States on Capitol Hill" and (2) On Page 7, second full paragraph, lines 5-6: Replace "as other distance learning ventures" with "as other for-profit ventures" The amendments to the minutes were accepted and minutes of the meeting were approved as amended.

**RESOLUTIONS**

**I. RESOLUTION (03/9), "A RESOLUTION ON SCHOLARLY COMMUNICATION AND LIBRARY SERIALS ACQUISITIONS"**

On behalf of the Senate Committee on Libraries, Professor Sylvia Marotta, Chair, introduced Professor John Heins, a faculty member from the Department of German and Slavic Languages and Literatures, who chaired the subcommittee of faculty which drafted the Resolution. Professor Heins spoke briefly about the subcommittee's work, saying that the spirit of the Resolution was to request that the Faculty Senate encourage faculty members to educate themselves about issues outlined in the Resolution, which include the problems of radical increases in the prices of scholarly publications, and growing restrictions on their use. In the past, relations between scholarly authors, publishers, and libraries were governed by a sort of unspoken, unwritten code of collegiality, which has somewhat broken down in recent years, perhaps with the rise of electronic publications. The intent of the Resolution is simply to raise faculty awareness of increasing problems developing in this area, and to urge them to take whatever steps they feel are appropriate to resolve them.

There being no discussion on the Resolution, a vote was taken, and Resolution 03/9 was adopted with none opposed or abstaining. (Resolution 03/9 is attached.)

II. RESOLUTION (03/10), "A RESOLUTION ON THE ROLES OF FACULTY MEMBERS, SCHOOL-WIDE PERSONNEL COMMITTEES, AND ADMINISTRATION OFFICIALS IN TENURE AND PROMOTION CASES"

Professor Arthur E. Wilmarth, Jr. spoke on behalf of Professor Ernest Englander, Chair of the PEAf Committee, who could not be present at the meeting. As background to the Resolution, Professor Wilmarth said that, following the recodification of the Faculty Code, it appears to be an appropriate time to re-examine procedures and policies governing applications for tenure and promotion. In some recent cases that have come to the attention of the Executive Committee through the nonconcurrence process, the Executive Committee identified several problems that were surfacing across different departments, and to some extent schools, and the Executive Committee thought it was important to set forth the Faculty Senate's understanding of the manner in which these problems should be addressed. The problems observed tend to fall into three general categories.

The first problem, according to Professor Wilmarth, is that in many cases criteria for tenure and promotion at the departmental level (and to some extent at the school level) are not as sufficiently specific, detailed, and precise to give candidates fair notice of the standards they are expected to meet and also to guide faculty deliberations and decisions about tenure and promotion. The PEAf Committee recognizes that as GW increases its efforts to achieve academic excellence, criteria need to be updated from time to time to reflect the University's academic goals.

Secondly, an important part of the process that occurs in any candidate's progress toward tenure and promotion is the evaluation of the candidate's annual reports. Also, in many schools and departments, mid-term reviews are conducted when contracts of tenure-track faculty members are renewed. In some recent cases involving administrative nonconcurrences with faculty recommendations for tenure and promotion, the Executive Committee felt that there had not been detailed, timely, and specific feedback to candidates during their annual reviews, or in some cases during their mid-term reviews, that would have identified significant problem areas indicating that candidates needed to make substantial additional efforts or improvement to meet standards for tenure or promotion.

As the Resolution indicates, the process for deciding on tenure or promotion is a collaborative process involving action first by the departmental faculty, or by school faculty in a non-departmentalized school. The next level of review in departmentalized schools is the advisory school-wide personnel committee, which advises the dean as to whether it believes departmental recommendations satisfy the appropriate criteria and procedures. The next level of review would be the dean's decision whether to concur with a departmental recommendation, following which the decision is transmitted to the Executive Vice President for Academic Affairs for his consideration of concurrence or non-concurrence issues.

The third important reason for bringing the Resolution forward was the feeling that, in some recent tenure and promotion cases, the advisory school-wide personnel committees (and in some cases University administrators) took the view that they could make a de novo judgment on whether or not candidates recommended by departments had satisfied the appropriate criteria. Professor Wilmarth said that the Faculty Code does not provide for independent de novo review by advisory school-wide personnel committees or University administrators, but instead requires a careful evaluation as to whether the departmental faculty reached a reasoned, appropriately documented conclusion, and whether the departmental faculty has applied the appropriate criteria along with the correct procedures.

The Resolution essentially recapitulates and draws together in one place applicable provisions of the Faculty Code concerning these matters. The Resolution thus provides a guide to the various schools, departmental faculty, and administrators as to the Faculty Senate's understanding of Code requirements.

Professor Wilmarth pointed out that the Resolution also draws upon two additional documents, the first of which is the memorandum of 2/10/93 from the Executive Committee, which is attached to the Resolution as Exhibit A (it was also attached to Resolution 00/2 adopted by the Senate on 10/13/00). This memorandum was included with the Resolution because it contains a very useful explanation of the tenure and promotion process, and the roles of various institutional parties in that process.

Professor Wilmarth then read a particularly important portion from page 3 of this memorandum, which states "For reasons of ... the specialized professional qualifications of the recommending faculty [which would normally be the departmental faculty] the faculty is given a large measure of discretion by the Faculty Code. Under the Code, in the case of a nonconcurrence, a heavy burden of overcoming a presumption in favor of the department's recommendation is placed upon the Dean. As indicated, the latter must indicate the 'compelling reasons' for his/her nonconcurrence." The memorandum then goes on to describe briefly what "compelling reasons" are.

Also attached to Resolution 03/10 is a 1993 Resolution adopted by Committee T of the American Association of University Professors (AAUP), which is also instructive on the general questions of deference to faculty judgment and the definition of compelling reasons. It is important to note, Professor Wilmarth said, that according to Committee T compelling reasons involve more than a disagreement, but they do not virtually command a decision. It is not that the departmental faculty must act irrationally before their decision can be overturned, but there is a presumptive validity in the departmental recommendation, and the administration governing board should overturn that judgment only on the rare occasion where it can provide convincing reasons for rejecting the faculty's presumed academic expertise. Compelling reasons should plainly outweigh persuasive contrary reasons. The Executive Committee's memorandum of 2/10/93 acknowledges that the term "compelling reasons" includes "financial constraints of the University; programmatic restraints; failure of the faculty to conform to published promotion or tenure procedures; arbitrary and capricious recommendations; insufficiently supported evidence provided by the Department; and inadequacy of the reasons presented by the Department.

Professor Wilmarth said that it was the PEAf's Committee's hope that Resolution 03/10 would encourage the schools and departments to review their criteria and procedures for tenure and promotion, and to make sure those criteria and procedures reflect the consensus view of that school or department as to the standards a candidate for tenure or promotion must meet. Procedures should be accurate and reasonably specific, and annual evaluations and mid-term evaluations should identify potential problem areas that a candidate should address, so there is not a sudden surprise at the time of the tenure or promotion decision.

Professor Wilmarth concluded his remarks by saying that the PEAf Committee outlines a number of specific recommendations on pages 3-4 of the Resolution. These reflect the concerns already expressed. It is a sense of the Senate Resolution, which does not require the administration to formally concur, but it is hoped that this will be part of an ongoing, collaborative process in the continuing review of tenure and promotion policies and procedures. Professor Wilmarth then invited questions from the Senate on the Resolution.

Professor Griffith made the observation that, although Resolution 03/10 does not require the administration's approval, it would be helpful to the Senate if the administration's response to the Resolution would indicate specifically whether or not these principles are acceptable as the operating principles in this sort of decision making.

Professor Simon asked if a School could establish criteria whereby it conducts almost a de novo review of the departmental recommendation. This is not standard practice, he added, but he asked if the Code prohibits it. Professor Wilmarth said that his own view is that this would be highly problematic, and that he would want to take a more careful look at Part IV.D. of the Code on page 9, and paragraphs B.2. and B.3 of the Code procedures on pages 18 and 19. It seemed to him, after reviewing this language, that a School can do one of two things. It can decide to make all tenure and promotion decisions essentially on a school-wide, non-departmentalized basis, either acting as a committee of the whole, or delegating the Committee of the whole's role to an elected school-wide committee. Alternatively, a School could decide to allow the recommendations to come from the departments, but then, according to his reading of the Code the departmental recommendations, would be the "faculty recommendations" referred to in the Code. At that point the school-wide committee is advisory to the dean and their advice does not constitute "faculty recommendations" as contemplated by the Code. The school wide Committee may advise the dean if it believes there are grounds for compelling reasons which might form the basis of a nonconcurrence on the part of the dean. Professor Wilmarth said he would be very troubled by the notion that a de novo review at the school-wide committee level would follow the receipt of departmental recommendations.

Professor Cordes said that he thought the history of this process at the University was that for many years the University had a system that left the effective authority for making these sorts of faculty personnel decisions in the hands of departments. And at the next level of review, there was really a very high bar to changing or overturning a departmental decision in these matters. He said he thought the creation of the school-wide personnel committees was an attempt on the part of the University to operate in a manner more congruent with the process at other institutions. At some of these institutions, the

decision of the school-wide committee is the determining one. He added that he was not suggesting that the University follow this example, and that it was clear that these school-wide committees were advisory to the Dean, and a negative decision on their part (by itself) could not constitute the "compelling reason" required for the Dean to nonconcur. Professor Cordes then said he would like to hear more discussion on the intent of the Resolution.

Discussion followed between Professors Robinson, Wilmarth, and Griffith. Professor Robinson observed that the Resolution explains to everyone the provisions of the Faculty Code, and that what the faculty tried to do in the creation of the school-wide committees, the establishment of which she supported, was ensure that these committees were purely advisory. Secondly, she noted that GW's Faculty Code is based on AAUP documents. Professor Wilmarth said that, as he had previously explained, a major concern of the PEAFF was that, in some recent nonconcurrence cases, advisory school-wide committees began to view their role as being independent, de novo reviewing bodies with power to exercise a quasi veto over the departmental decision. Professor Griffith clarified some of the history of discussions on what constitutes "faculty recommendations" under the Code, and confirmed that the presumption of deference to faculty recommendations is explicitly attached to the recommendation of departmental faculty, not to advice of the school-wide personnel committees.

Executive Vice President for Academic Affairs Lehman said he wanted to re-emphasize some of the points made by Professor Wilmarth, because he thought them very important. The first was that he wanted very much to reinforce the notion of making statements to faculty very clear about applicable criteria in promotion and tenure decisions from the time that faculty are hired. This explicit statement of criteria and expectations applies equally, if not more, to contract faculty. This is not simple, but it is critical. Secondly, Vice President Lehman said that if there is anything that has come back to haunt the University in these personnel cases, it is the chair's evaluations of the contents of annual reports which are supposed to evaluate and document a faculty member's progress. If those evaluations are really authentic, then tenure and promotion decisions can typically withstand external scrutiny. If evaluations are positive and are followed by negative decisions on promotion/tenure, the cost to the University to resolve these cases is very high.

Professor Griffith asked Vice President Lehman how many tenure/promotion recommendations are transmitted to Academic Affairs each year. Vice President Lehman said he would estimate something on the order of 30-35 tenure decisions, and approximately 25 promotion recommendations [to full professor].

Professor Wirtz said he thought a very important cost not mentioned by Vice President Lehman was the human cost of these often agonizing personnel decisions to the individual involved, as well as to decision-makers. Vice President Lehman responded that his reference to these cases as being expensive to the University meant that costs are incurred at many levels, for the individual in the process, the department, the administration, the Faculty Senate, and ultimately, everyone in the University. He added that the essence of his remarks about personnel decisions is that everyone should make sure that faculty facing tenure or promotion decisions know exactly where they stand all along the way.

Professor Wirtz asked a hypothetical question concerning the fate of a faculty member who has performed adequately, but whose School is undergoing programmatic changes which make it unlikely that tenure will be conferred. Discussion followed between Professors Wilmarth, Harrington, Griffith, Robinson, Vice President Lehman and the President. Professor Griffith summarized the outcome of Senate discussions on this point by saying that the Faculty Code is clear that programmatic needs could constitute an independent ground for the denial of tenure. Professor Robinson concurred, but said her recollection was that such programmatic changes would need to be quite significant in order for tenure to be denied to an otherwise satisfactory candidate.

Professor Shambaugh stated his concern about faculty personnel decisions when a faculty member is reviewed in one department, but is budgeted to another School. He asked Vice President Lehman if the deans of the Schools had any input into the mid-term reviews of tenure track faculty. Vice President Lehman responded that they did.

Professor Castleberry said he thought that most school-wide committees do not have access to a candidate's annual reports or evaluations, and thus, he wondered if information provided in these reports was paramount in decision making. Vice President Lehman said that unfortunately, there is not a uniform process for evaluating annual reports in the various schools. Professor Griffith asked if the contents of annual reports were privileged, as he thought it was part of a candidate's record, and Vice President Lehman said it was his impression there was not such a privilege.

The question was called on the Resolution, a vote was taken, and Resolution 03/10 was adopted by unanimous vote. (Resolution 03/10 is attached.)

### INTRODUCTION OF RESOLUTIONS

President Trachtenberg read and presented "A Resolution of Appreciation to Professor Lilien F. Robinson," outgoing Chair of the Executive Committee of the Faculty Senate, and Professor of Art History, for her distinguished service. Following applause and a standing ovation, Professor Robinson thanked the Senate for the sentiments expressed in the Resolution. (Resolution 03/11 is attached.)

### ANNUAL REPORT ON WOMEN FACULTY AND FACULTY OF COLOR

Vice President Lehman began his Report by thanking staff members for their assistance in producing the Report, including Assistant Vice President Peggye Cohen and her staff, as well as Assistant Vice President Annie Wooldridge, and Academic Affairs staff member Nkena Epps.

With the promise that his oral Report would be brief, Vice President Lehman invited the Senate to review the first graph in Appendix A 2, which shows that the overall trend for the past three years in the total minority faculty population has been upward, as there have been increases both in the number of black and Asian faculty members. Overall, he added, these statistics reflect progress which may be small in the context of the entire faculty population, but progress which is significant nonetheless. This progress has been achieved

by being proactive in the faculty search process, in which the University seeks the very best candidates it can locate in national searches and this process sometimes includes encouraging faculty who might not otherwise apply to do so.

Vice President Lehman then described recruitment activity summarized on the first page of the Report, which shows that the University conducted 137 national searches for regular faculty, and 52 modified searches for visiting faculty. An overall snapshot of the GW faculty population shows that it is composed of approximately 59% men, and 41% women, with approximately 30.3% men and 26.1% women in the minority category. In the senior professorial ranks, approximately three-fourths of the faculty are men, and a quarter women. In the junior ranks, the faculty is composed equally of men and women, continuing a trend reported last year.

Vice President Lehman then encouraged faculty to review the Report at their leisure, observing that data in the report are broken down very carefully between the non-medical and medical part of the University. Data concerning the Medical Faculty Associates are now reported separately as requested by the Senate last year.

In terms of faculty development and support, Vice President Lehman reported that Academic Affairs has begun conducting exit interviews for faculty, similar to those conducted in the student population, in which an effort is made to understand fully why faculty are leaving the University. The Report compares this data to that from other universities so that comparative conclusions can be drawn.

Academic Affairs is also in the midst of conducting its biennial salary equity review. Three faculty members have been appointed by the Senate to serve on the Committee: Professor Michael King, serving as Chair, from the Chemistry Department, and Professors Maria-Cecilia Zia (Psychology) and Ralph Mueller (GSEHD). Assistant Vice Presidents Peggye Cohen and Annie Wooldridge are again serving as staff to the Committee, along with Barbara Marshall of Faculty Personnel and Joe Knop of Institutional Research, added to the group this year. Professor Philip Wirtz, a Senate member, is serving this year as a technical consultant to the committee; he has been a member of the group for many years in the past. This review is expected to be complete by the Fall of 2004, and results will be reported to the Faculty Senate.

In conclusion, Vice President Lehman noted that an important initiative in improving the climate at GW for faculty is underway with the formation of a task force on maternity leave which will examine University policy in this area, as the President and Senate had suggested at the Senate meeting where the tenure clock extension had been considered and approved. Vice President Lehman then invited the Senate's comments and questions about the Report once faculty found the opportunity to review it in its entirety. (The Report is attached.)

#### SPECIAL REPORT ON THE FY '04 AND FY '05 OPERATING BUDGETS AND FIVE YEAR CAPITAL BUDGETS

Professor William B. Griffith, Chair of the Fiscal Planning and Budgeting Committee (FP&B), distributed an outline of the Special Report, which was included with the meeting agenda. He then presented the Special Report, which he said had been drafted principally

by Committee Member Professor Harry Watson, with major assistance from Professors Randall Packer and Anthony Yezer, also members of the Committee. Professor Griffith noted that Professor Watson had declined his invitation to present the Report, but added that he hoped Professor Watson would join him to respond to questions, especially on the fixed tuition plan.

Professor Griffith noted that in the summary of the Report, the Committee had tried to identify some of the interacting risks that the University is facing because of the amount of variable rate debt and the extent of its dependency on tuition. The University is also rather low on the list when it comes to raising funds and gifts for its support.

In the overview of current proposed budgets, the Committee presents a snapshot of the '04 (current) budget. Professor Griffith highlighted the FY '04 proposed debt service which this year amounts to approximately \$41.4 million. Approximately 60% of this debt service is covered by income streams from buildings already in place, and those under construction, for example, residence halls, and the Health & Wellness Center. However, 40% of the remainder of the debt service is drawn from the general (operating) budget. Increasing debt service is one of the factors which has led to such fiscal constraints in FY '05 as asking the deans to reduce their budgets by 1.6%, he noted.

Another factor creating a budget pinch for the University is that endowment support is projected at \$24.8 million, which is a considerable reduction from the endowment support made available in previous years when the asset base and drawdown on the endowment were both higher.

Professor Griffith then briefly reviewed information concerning planned activity in the capital budget. Between FY '04 and FY '07 new construction to be funded by debt, and gifts on the order of \$12 million, are projected to cost some \$163.8 million.

Professor Griffith then turned to Section C of the Report which contains a comparison of the growth in enrollments and the growth in faculty. The enrollment growth has been matched very closely by growth in the number of non-tenured faculty. If an increasing number of faculty are brought in on a contract basis, the University faces having a two-tier faculty, where contract faculty are not equally compensated nor expected to discharge the same duties to the University as their tenure-track counterparts. Professor Griffith noted that the Faculty Code clearly distinguishes between tenure-track and non-tenure-track faculty, and he said he thought that, in general, there would be significant morale problems if the University continues to move in this direction. Historically, he added, the University has been through this cycle before, as former President Elliott asked for and received the assent of the Senate to embark on a course of hiring faculty in non-tenure-track positions. Thus, there was a substantial number of these faculty when President Trachtenberg came to the University presidency. To President Trachtenberg's credit, he added, the University had managed to convert many non-tenure-track slots into tenure slots, and return to a situation where, by the mid-nineties, the largest portion of the faculty are tenured. Unfortunately, the University is now moving back in the direction of hiring more non-tenure-track than tenure-track faculty. Professor Griffith then said he thought the Senate would do well to try to establish a task force or working group to look at this problem in the most careful way.

Professor Griffith then briefly touched upon administrative costs at the University, which are rather high as a percentage of total expenses. As illustration, not offered in the Report, a query to the Human Resources Office at GW produced the information that between 1998 and 2003, the numbers of Associate and Assistant Vice Presidents and Vice Presidents went from 28 to 39, which is about a 40% increase.

Next, Professor Griffith turned to the Committee's consideration of the fixed tuition plan which will be provided to undergraduates enrolling this year. He said that Committee briefings did not yield a complete understanding of the plan, but that apparently the plan would feature a \$5 million risk reserve in the event the plan did not function as intended. The exact way in which the University intends to escrow some of the "windfall tuition" from the first year to expend in later years was never made clear in the documents the Committee saw. Information concerning the fixed tuition plan is contained in an appendix to the Special Report.

Professor Griffith then noted that the debt to endowment ratio for the University is really quite high, exceeded only by Boston University in the comparisons drawn. In other discouraging news, the percentage of gifts for FY '02 in terms of total revenue is low, and one reason this might be the case is that the University does not spend as much on fund-raising as other universities do. While the University moved to rectify that situation a year ago by providing an additional \$1 million to the advancement budget, that was not followed by an increment in this fiscal year, and it is not clear if the return on that investment is what the University hoped it would be.

In conclusion, Professor Griffith commented on that portion of the Report which deals with classroom availability, or the lack of it, in the face of growing enrollments. He noted that the lead paragraph somewhat summarizes the Committee's sentiments, "given the University's line of business we would expect that classroom space would receive somewhat more attention than it has." Another area of concern to the Committee is the sharp increase in legal expenses to the University, as a good deal of money has been spent in litigation with the District of Columbia over building requirements. The Committee was not privy to information concerning the amount of money involved in possible settlements, and thus the Report simply provides information on expenditures for legal counsel.

President Trachtenberg said that this was the second year in a row that he had been impressed by the FP&B presentation, and he added that he wanted to express this publicly, rather than privately. On the other hand, he said that Professor Watson had successfully explained to him through the Report why Economics is known as the dismal science. The issue of tenured versus non-tenured faculty is one which will probably continue to be a concern for the next twenty years, and the manner in which that question is addressed will be significant for higher education institutions nationwide. This is especially true because secondary school graduates are increasing in number, a trend which will continue until about 2011 when, unfortunately, the number will plateau and then decline. This demographic has implications for faculty hiring decisions he added, and there is room for scholarship on how to deal with the issues this dilemma presents.

The President also said that, although he thought it likely that the University's growth in enrollments, faculty, and facilities has led to a modest increase in administrative positions, he suspected that some of the data might be misleading, as the information

supplied by Human Resources would reflect changing titles for existing personnel as well as new hires.

With regard to advancement efforts, the President noted that two years ago the University recruited a new Vice President for Advancement who, for personal reasons, has left the University and relocated. While the University invested an additional \$1 million in fundraising efforts last year, a search is commencing for a new Vice President, and additional budget increments were not made this year. The President assured the Senate that advancement is a very high priority at the University.

With regard to classroom space, the President noted that the University has a number of buildings under construction, and the SMPA and Elliott School buildings are now complete. Construction on the Business School facility is well underway, the new residence hall on 23<sup>rd</sup> Street is near completion, and renovations are in progress all over campus. In addition to physical facility initiatives, the President said again he thought that efficient use of the University's space is necessary and probably makes more sense than merely constructing more new buildings.

Professor Cordes noted that he was also a member of the Economics faculty, and he said that he thought the Special Report was really pretty upbeat. In large part, the Report simply identifies risks, and he said that he would hope that Executive Vice President & Treasurer Katz and Associate Vice President Boselovic would discuss ways to reduce these identified risks with the FP&B Committee. The President acknowledged that these concerns are also under discussion with the Board of Trustees, and it is the University's hope that the fixed tuition plan will assist in the retention of students. On a final note, the President mentioned that GW, along with Harvard and the University of Virginia was cited by Congressman McEwan for particular proactivity in trying to address the needs of parents struggling with making arrangements to provide higher education for their children.

As the President had to leave the meeting to attend to another professional commitment, Vice President Lehman assumed the chair.

## GENERAL BUSINESS

### I. NOMINATION FOR ELECTION OF MEMBERS OF THE EXECUTIVE COMMITTEE FOR THE 2004-05 SESSION

On behalf of the Nominating Committee, Professor Robinson moved the nomination of Professor Arthur E. Wilmarth, Jr. (GWLS) as Chair of the Executive Committee. The nominee was approved. Professor Robinson then moved the nominations of the following faculty members for election to the Executive Committee for the 2004-05 Session: Michael S. Castleberry (GSEHD), Morgan D. Delaney (SMHS), Charles A. Garriss, Jr. (SEAS), Murli M. Gupta (CSAS), Peter F. Klarén (ESIA), Donald C. Paup (SPHHS), and Philip W. Wirtz (SB). The entire slate was approved.

## II. NOMINATION FOR ELECTION OF NOMINEES TO THE DISPUTE RESOLUTION COMMITTEE

On behalf of the Executive Committee, Professor Robinson moved the nomination of Professor Kurt J. Darr as Chair for a one-year term commencing May 1, 2004. The nomination was approved. Professor Robinson then moved the nominations for election of the following faculty members to the Dispute Resolution Committee for three years terms commencing May 1, 2004: Professors Robert M. Dunn, Mark S. Klock, Jeffrey P. Smith, and Juliana M. Taymans. The slate was approved.

## III. NOMINATION FOR APPOINTMENT BY THE PRESIDENT TO ADMINISTRATIVE COMMITTEES

On behalf of the Executive Committee, Professor Robinson moved the nominations for election of the following faculty members for appointment by the President to the following Administrative Committees: Committee on the Judicial System: Professor Michael S. Castleberry, Chair, and Professor George C. Wang, for a two-year term commencing September 1, 2004; University Hearing Board: Professors Katherine H. Goodrich and Charis E. Kubrin, for a one-year term commencing September 1, 2004; Marvin Center Program Board: Professor Dana T.S. Burgess; Marvin Center Governing Board: Professors Mary A. Buckley, Stephen K. McGraw, Thomas J. Quasney, and Bradley W. Sabelli. All of the nominations were approved.

## IV. REPORT OF THE EXECUTIVE COMMITTEE

Professor Robinson presented the Report of the Executive Committee, which is enclosed.

## BRIEF STATEMENTS (AND QUESTIONS)

Vice President Lehman briefed the Senate on the status of efforts to organize part-time faculty. On March 31, Local 500 of the Service Employees International Union filed a second petition with the National Labor Relations Board (NLRB) seeking to represent GW's part-time and regular part-time faculty. The union has narrowed its definition of the unit they seek to represent as those faculty teaching courses of one credit or more. The NLRB is in the process of determining whether or not the Union has a sufficient showing of interest, i.e., 30%, in order to proceed with an election. A hearing has been scheduled for April 26<sup>th</sup> to stipulate the unit, in other words, to determine whether or not part-time faculty who have been excluded from the unit actually share a community of interest with those who have subscribed to the petition. The NLRB will also determine if there are other part-time faculty who should be included in the unit. One group which has been excluded from the beginning is the School of Medicine and Health Sciences part-time faculty. An election cannot be held until this determination is made by the NLRB.

Vice President Lehman said that in many ways this organizing effort concerns him, as it may well impact academic freedom and inject a new level of complexity that the University has not faced before. At this stage, he said he did not think that the organizing unit appreciates the diversity of GW's part-time and regular part-time faculty, which is really composed of several different groups. The first is the very large group of professional

individuals who are employed in full-time jobs and come to the University after work to share their expertise at both the undergraduate and graduate levels. Another group consists of faculty who literally make their living as part-time faculty, teaching at GW as well as at other institutions. There are also graduate students who are not teaching, doing research, or serving as administrative assistants and teaching courses as part-time lecturers, and therefore they are considered part-time faculty. Vice President Lehman added that it was unclear if the first group would be allowed to join the union due to their other employment, and that a requirement that part-time faculty pay union dues, probably in the range of \$300-400, may well have an impact on faculty considering part-time employment at GW.

In addition to the concerns outlined above, Vice President Lehman said that, if successful, these organizing efforts will lead to another party being an intermediary when optimal interactions occur through direct communication.

Vice President Lehman concluded his remarks by saying that the most important thing as this process moves forward is that everyone should understand that the University wants to encourage a free and open discussion relative to the issues. It is also important that the facts and issues be publicized, which the University has done by making information available on its website at: <http://www.unionization.gwu.edu/> Vice President Lehman then encouraged faculty to visit the site and educate themselves about the issues so that a fruitful dialogue with part-time colleagues can proceed.

#### ADJOURNMENT

There being no further business before the Senate, a motion to adjourn was made and seconded. The meeting was adjourned at 4:24 p.m.

*Dennis L. Geyer*  
Dennis L. Geyer  
Secretary

## **A RESOLUTION ON SCHOLARLY COMMUNICATION AND LIBRARY SERIALS ACQUISITIONS 03/9**

**WHEREAS**, a subcommittee of the Senate Committee on Libraries studied the current status of scholarly communications and library serials acquisitions; and

**WHEREAS**, scholarly communication through published journals, both print and electronic, is central to the healthy functioning of the scholarly community, and the instruments of scholarly communication should operate for the primary benefit of scholars and students engaged in the enterprise of learning and teaching; and

**WHEREAS**, large commercial publishers are increasing prices for many journal subscriptions at a rate far exceeding the rate of inflation; and

**WHEREAS**, licensing agreements for institutions are becoming increasingly restrictive; and

**WHEREAS**, leading institutions in the US and abroad, are beginning to respond to this problem;  
NOW, THEREFORE

### **BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY THAT:**

1. The Faculty Senate encourages faculty members to educate themselves about this issue.
2. The Faculty Senate supports the libraries' efforts to balance priorities by deciding to cancel or not to purchase journals available only through bundle purchasing, and in some cases by purchasing newer, less established journals.
3. In reference to the production of scholarly publications, the Faculty Senate encourages faculty authors to consider accessibility when choosing where to publish their research: to consider more affordable publishers whose institutional pricing policies are in line with reasonable price increases, and to consider newer open-access publications.
4. The Faculty Senate encourages faculty who serve on editorial boards of journals to be aware of, and to the extent possible, involved in decisions concerning pricing of periodicals and thereby concerning dissemination of knowledge, scholarship, and research.

Drafted by John Heins, German and Slavic Languages, Caroline Long, Librarian,  
and Anne Linton, Librarian, on behalf of the Senate Committee on Libraries;  
Sylvia A. Marotta, Chair.

February 19, 2004

Adopted April 9, 2004

## **Resolution Concerning Scholarly Communication and Library Serials Acquisitions**

### **Preamble:**

Librarians have brought to the attention of the Faculty Senate Standing Committee on Libraries a continuing crisis in scholarly communication affecting academic libraries throughout the US and overseas, particularly in reference to serials acquisitions. As large commercial publishers are increasingly dominating the market for scholarly journals, the prices for many journal subscriptions, both print and electronic, are unjustifiably increasing at a rate far exceeding the rate of inflation. The Association of Research Libraries reports that serial costs for member libraries increased 215% over the past 15 years, while the Consumer Price Index increased only 62%. At the same time, journals are becoming subject to increasingly restrictive rules regarding use by virtue of the licensing agreements between publishers and institutional subscribers (e.g. restrictive downloading, photocopying and lending rules). At GW, the effect of these changes is a necessary decrease in the number of serials the libraries may acquire, and simultaneously an unavoidable increase in the overall cost of those we do acquire, cutting into budgets for book purchases as well. With other institutions being forced into similar cutbacks, access to scholarly output is diminishing in the aggregate. (For fuller explanations of this dynamic and a wealth of resources related to this growing international problem, faculty are invited to consult the website <http://www.gwu.edu/gelman/guides/general/scholarly.html> maintained by Caroline Long, Associate University Librarian for Collections Services.)

Leading institutions both here and abroad, including Harvard, Cornell, the University of California, and the Parliament of the UK, have begun taking strong action in response to the problem. This action in some cases has included cancelling subscriptions from certain "prime offender" publishers such as Reed Elsevier rather than submitting to their unfair use restrictions and "bundling" practices. ("Bundling" refers to a practice wherein libraries purchase electronic versions of the print journals plus many other of the publishers' titles for a modest amount beyond the cost of their paper subscriptions, only to face large price increases at renewal time. As libraries are unable to afford the increasing price of the bundle and they seek to tailor subscriptions to university research and curricula, they are forced to buy individual subscriptions at substantially higher prices.)

The resistance to the increasingly severe restriction of scholarly information will be most effective if that resistance becomes widespread in the scholarly community. The Faculty at GW has a vital stake in the acquisition of new scholarly knowledge through academic journals, and is integrally involved in the production and distribution of that knowledge through its publication in, and editorial work on, scholarly journals published by a variety of publishers. In order to address this crisis in an effective and comprehensive way, we at GW must consider not only the principles whereby the GW libraries should acquire serials, but also the principles whereby we choose to support journals by submitting our scholarly work and to accord journals our scholarly acclaim.

**Whereas:** Scholarly communication through published journals, both print and electronic, is central to the healthy functioning of the scholarly community, and the instruments of scholarly communication should operate for the primary benefit of scholars and students engaged in the enterprise of learning and teaching,

**Be it Resolved That:**

1. The Faculty Senate encourages faculty members to educate themselves about this issue.
2. Recognizing that in light of the circumstances indicated above, and in a state of quite limited resources, the GW libraries must regularly make very difficult choices among potential serials purchases, the Faculty Senate supports the libraries' efforts to balance priorities by deciding to cancel or not to purchase journals available only through bundle purchasing, and in some cases by purchasing newer, less established journals.
3. In reference to the production of scholarly publications, the Faculty Senate encourages faculty authors to consider accessibility when choosing where to publish their research: to consider more affordable publishers whose institutional pricing policies are in line with reasonable price increases, and to consider newer open-access publications.
4. The Faculty Senate encourages faculty who serve on editorial boards of journals to be aware of, and to the extent possible, involved in decisions concerning pricing of periodicals and thereby concerning dissemination of knowledge, scholarship, and research.

**A RESOLUTION ON THE ROLES OF FACULTY MEMBERS, ADVISORY SCHOOL-WIDE PERSONNEL COMMITTEES AND ADMINISTRATION OFFICIALS IN TENURE AND PROMOTION CASES (03/10)**

**WHEREAS**, the Faculty Code and authoritative documents of the American Association of University Professors ("AAUP") establish that actions on applications for tenure and promotion should be undertaken in accordance with a collaborative process that involves faculty members, advisory school-wide personnel committees, deans and the Executive Vice President for Academic Affairs ("VPAA"); and

**WHEREAS**, in view of the recent recodification of the Faculty Code and administrative actions in certain recent tenure and promotion cases, the Faculty Senate deems it a matter of great importance to survey the provisions of the Faculty Code and AAUP documents for the purpose of clarifying the principles and procedures that should be followed by faculty members, advisory school-wide personnel committees, deans and the VPAA in evaluating faculty candidates for tenure and promotion; and

**WHEREAS**, Article IV.C.2 of the Faculty Code provides that (i) "[e]ach school or comparable educational division shall establish and publish criteria on which the granting of tenure will be based to implement the factors itemized in [Article IV.C.1]"; (ii) each department shall publish any additional criteria for tenure established by that department; and (iii) "[e]ach department or nondepartmentalized school shall establish and publish the procedures followed for making decisions concerning tenure"; and

**WHEREAS**, Article IV.C.3 of the Faculty Code states that "[t]o aid faculty members in assessing their potential for achieving tenure, each department, division, or comparable program shall establish procedures for informing individual faculty members, upon request, concerning probable status with regard to tenure", while adding that "[s]uch information will not constitute a commitment to recommend tenure"; and

**WHEREAS**, Article IV.B.3 of the Faculty Code provides that (i) "[e]ach school or comparable educational division shall establish and publish criteria on which promotion shall be based"; (ii) each department shall publish any additional criteria for promotion established by that department; and (iii) "[e]ach department or nondepartmentalized school shall establish and publish the procedures followed for making decisions concerning promotions"; and

**WHEREAS**, evaluations of annual reports of faculty members by their department chairs and deans and (where applicable) renewals of the contracts of tenure-track faculty members should provide accurate, timely and detailed information to faculty members regarding their progress (or lack thereof) toward meeting the applicable criteria for tenure and/or promotion; and

**WHEREAS**, Section B.2 of the Procedures for the Implementation of the Faculty Code (hereinafter "Procedures") provides that tenured faculty members of the appropriate rank within each department or nondepartmentalized school shall make recommendations for the granting of tenure to faculty members, and for the promotion of faculty members, within such department or school; and

**WHEREAS**, (i) Section B.3 of the Procedures provides that actions concerning tenure and promotion "shall normally follow faculty recommendations" and "[d]epartures from this standard shall be limited to those cases involving compelling reasons"; and (ii) Section B.4 of the Procedures provides that "[v]ariant or nonconcurring recommendations from an administrative officer" must be accompanied by "supporting reasons"; and

**WHEREAS**, Article IV.D of the Faculty Code provides that (i) each school shall establish an elected school-wide personnel committee to consider recommendations for decisions concerning tenure and promotion; (ii) an elected standing committee, when sitting in review of a recommendation for tenure or promotion originating from a department or equivalent unit, "shall advise the dean of that school whether the candidate has met the relevant school and department criteria and whether it has identified any 'compelling reasons' that may exist for not following the department or unit recommendation"; and (iii) such "advisories" provided to the dean by an elected standing committee "shall not be construed as 'faculty recommendations' as defined by Section B.3 of the Procedures"; and

**WHEREAS**, in a Memorandum to the University's full-time faculty dated February 10, 1993 (hereinafter "1993 Memorandum") (copy attached to this Resolution as Exhibit A), the Executive Committee of the Faculty Senate described the respective roles of faculty members, advisory school-wide personnel committees, deans and the VPAA in acting on applications for tenure and promotion; and

**WHEREAS**, the 1993 Memorandum (at p. 2) provided the following explanation regarding the proper relationship between faculty recommendations concerning tenure and promotion and administrative nonconcurrences:

"For reasons of ... the specialized professional qualifications of the recommending faculty, the faculty is given a large measure of discretion by the Faculty Code. Under the Code, in the case of a nonconcurrence, a heavy burden of overcoming a presumption in favor of the Department's recommendation is placed upon the Dean. As indicated, the latter must identify the 'compelling reasons' for his/her nonconcurrence. ... Institutionally the term 'compelling reasons' has been interpreted as constituting more than a different conclusion on the part of the administrator. 'Compelling reasons' have been identified as: financial constraints of the University; programmatic constraints; failure of the faculty to conform to published promotion or tenure procedures; arbitrary and capricious recommendations; insufficient supporting evidence provided by the Department; and inadequacy of the reasons presented by the Department."

**WHEREAS**, the 1993 Memorandum also explained that (i) an administrator's nonconcurrence with a faculty recommendation concerning tenure or promotion "should be supported by findings sufficient to rebut and overcome the evidence submitted in support of the faculty recommendation" (p. 4); (ii) as established under Resolutions 91/6 and 91/9 of the Faculty Senate, advisory school-wide personnel committees are intended to serve as "decanal advisory groups" and should not "substitute their judgment for that of the Department faculty" (p. 4); and (iii) neither advisory school-wide personnel committees nor the deans are

“professionally qualified to evaluate de novo the substantive conclusions of the faculty” (pp. 5-6); and

**WHEREAS**, (i) the 1993 Memorandum was discussed in, and attached as an exhibit to, Resolution 00/2 of the Faculty Senate, adopted on October 13, 2000, and (ii) the ninth “WHEREAS” clause of that Resolution expressed the Faculty Senate’s understanding that “the University Administration is in general agreement with the interpretation of the ‘compelling reasons’ standard set forth in the 1993 Memorandum”; and

**WHEREAS**, an interpretation approved in May 1993 by the AAUP’s Committee T on College and University Government (copy attached to this Resolution as Exhibit B) endorsed “the presumption in favor of faculty judgment” on “questions of faculty status” and also provided the following explanation of the standard of “compelling reasons” set forth in the Joint Statement on Government of Colleges and Universities, which was adopted in 1966 by the AAUP, the American Council on Education, and the Association of Governing Boards of Universities and Colleges:

“Committee T concluded that a compelling reason involves more than a disagreement with faculty judgment but is not one that virtually commands a decision. Even if the administration and governing board are persuaded that the faculty judgment is incorrect, they should reverse it only on that rare occasion when they can provide convincing reasons for rejecting the faculty’s presumed academic expertise. A compelling reason should be one that plainly outweighs persuasive contrary reasons.”

**WHEREAS**, it is the sense of the Faculty Senate that, in recent instances, administrative nonconcurrences with faculty recommendations concerning tenure and promotion have raised troubling questions regarding (i) an evident lack of clarity in the criteria and procedures for tenure or promotion established by some departments and/or schools; (ii) an apparent lack of timely, accurate and detailed advice to some faculty candidates with regard to their progress (or lack thereof) toward meeting the applicable criteria for tenure or promotion; (iii) an apparent tendency by some advisory school-wide personnel committees and administrators to view their roles as allowing them the right (A) to make a de novo review of the qualifications of faculty candidates for tenure or promotion and (B) to substitute their judgment for the informed judgment of the recommending faculty; **NOW, THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:**

That it is the sense of the Faculty Senate that particular care must be taken to observe the following principles established by the Faculty Code and authoritative AAUP documents dealing with university governance:

- 1) Each department or school should ensure that its criteria and procedures governing tenure and promotion (A) comply with Articles IV.B and IV.C of the Faculty Code and Sections B.2 and B.3 of the Procedures and (B) provide clear, specific and detailed guidance to faculty candidates regarding the standards to be applied by the

department's or school's faculty in making recommendations concerning tenure and promotion.

- 2) Each faculty appointment letter should refer to and enclose (A) the criteria for tenure and/or promotion (as applicable) established by Article IV of the Faculty Code and (B) the additional criteria established by the relevant department and/or school. Any additional expectations for performance set forth in a faculty appointment letter should be consistent with the foregoing criteria.
- 3) In providing oral and written evaluations of annual reports of a faculty member who is expected to be a future candidate for tenure and/or promotion, the responsible department chair and/or dean should provide accurate, timely and detailed advice regarding the faculty member's progress (or lack thereof) toward meeting the applicable criteria for tenure and/or promotion; provided, that such advice is not to be construed or understood as a commitment to recommend tenure or promotion.
- 4) In renewing the contract of a faculty member who is expected to be a future candidate for tenure and/or promotion, the recommending faculty and the responsible administration officials should provide the faculty member with a comprehensive analysis of his or her progress (or lack thereof) toward meeting the applicable criteria for tenure and/or promotion; provided, that such analysis is not to be construed or understood as a commitment to recommend tenure or promotion.
- 5) In reviewing a faculty recommendation for promotion or tenure, the advisory school-wide personnel committee, the dean and the VPAA do not have authority to make a de novo review of the faculty candidate's qualifications or to substitute their judgment for the judgment of the recommending faculty. In order to issue a nonconcurrency with the decision of the recommending faculty, the dean and the VPAA must each provide a detailed statement of "compelling reasons" that are sufficient to overcome the presumption in favor of the specialized professional expertise of the recommending faculty. The dean and the VPAA cannot meet this heavy burden unless the "compelling reasons" identified in their respective statements: (A) are based on a finding of (i) significant financial or programmatic constraints, (ii) the failure of the recommending faculty to conform to published tenure or promotion procedures, (iii) arbitrary or capricious action by the recommending faculty, or (iv) insufficient evidence or inadequate reasons provided by the recommending faculty; and (B) plainly outweigh the evidence and reasons provided by the recommending faculty in support of granting tenure or promotion to the faculty candidate.

Faculty Senate Committee on Professional Ethics and Academic Freedom  
March 31, 2004

Adopted April 9, 2004

A RESOLUTION OF APPRECIATION (03/11)

WHEREAS, Lilien F. Robinson has earned the highest level of respect, gratitude, and admiration of the University community; and

WHEREAS, her term of service on the Executive Committee of the Faculty Senate has reached its statutory limit; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

That the following citation be issued:

In recognition of the wide range of outstanding contributions to The George Washington University made by Professor Lilien F. Robinson during her 40 years of remarkable service; and

In recognition of her 40 years of dedicated service to her students and colleagues in the Department of Art during her progression from Teaching Fellow to Professor of Art History, during which time she has consistently adhered to the highest standards of excellence in her teaching and scholarship; and

In recognition of her 23 years of distinguished service as Chair of the Department of Art, during which time she provided exceptional leadership to her Departmental colleagues; and

Especially in recognition of her extraordinary contributions to the entire University faculty through her 25 years of exemplary service as a member of the Faculty Senate – including 13 years as a member of the Executive Committee, 11 years as Chair of the Executive Committee, 6 years as Chair of the Committee on Appointment, Salary and Promotion Policies, 3 years as Chair of the Committee on Administrative Matters as They Affect the Faculty, 2 years as Chair of the Committee on Professional Ethics and Academic Freedom, and 1 year as Chair of the Committee on Educational Policy – during which time she has compiled an unequaled record of major accomplishments for the University faculty, due to her outstanding qualities of leadership, integrity, collegiality, diplomacy, fairness, kindness, patience, and unwavering commitment to reasoned discourse and deliberation;

THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

HEREBY EXPRESSES ITS

DEEPEST APPRECIATION AND GRATITUDE TO

PROFESSOR LILIEN F. ROBINSON

FOR HER DISTINGUISHED SERVICE



April 9, 2004

Adopted by acclamation  
April 9, 2004

Stephen Joel Trachtenberg  
President

# RECRUITMENT AND RETENTION OF WOMEN FACULTY AND FACULTY OF COLOR

Report to the Faculty Senate  
by the  
Executive Vice President for Academic Affairs<sup>1</sup>  
April 9, 2004

## PURPOSE

This report outlines the current status of the recruitment, appointment, promotion, tenure, retention of, and the climate for women faculty and faculty of color at the University. In the spirit of Faculty Senate Resolutions 89/13 and 90/7, this report is provided to inform decisions regarding future activity in these areas.

## THE STATE OF RECRUITMENT AND RETENTION AT GW

The data, upon which this and subsequent tables and attachments are based, were provided by the Office of Institutional Research. The data do not include deans, administrators with faculty rank, research faculty, visiting faculty (except where noted), affiliated faculty<sup>2</sup> or non-tenure accruing instructors in SMHS.

## RECRUITMENT ACTIVITY

In 2002-03, one hundred eighty-eight (188) authorized searches (137 national searches for regular faculty and 51 modified searches for visiting faculty) for appointments effective with the 2003-04 academic year resulted in 100 hires. Fifty-six (56) were regular full-time appointments and forty-four (44) were visiting appointments. Tables 1 and 2A provide in detail the outcome of this activity.

Table 1 describes this year's new regular active-status faculty. There were 16 fewer new hires for 2003-04 than for 2002-03, a decrease of 22%. This year, 41% of the 56 new faculty hires are women and 29% are faculty of color, compared to 35% and 28%, respectively, last year.

**TABLE 1**  
**New Full-Time Faculty**  
**October 1, 2002 through September 30, 2003**

	MEN		WOMEN		TOTAL	
White	23		16		39	
Black	3		3		6	
Asian	5		3		8	
Hispanic	2		0		2	
Am. Native	0		0		0	
Unknown	0		1		1	
<b>TOTAL</b>	<b>33</b>	<b>58.9%</b>	<b>23</b>	<b>41.1%</b>	<b>56</b>	
<b>Minorities</b>	<b>10</b>	<b>30.3%</b>	<b>6</b>	<b>26.1%</b>	<b>16</b>	<b>28.6%</b>

<sup>1</sup> The EVPAA is grateful to the Assistant Vice President for Faculty Recruitment and the Assistant Vice President for Institutional Research for their major contributions to the compilation and preparation of this report.

<sup>2</sup> The GW Medical Faculty Associates (MFA) is an independent nonprofit clinical practice group affiliated with the University. Under the affiliation agreement, because they have appointments in the SM&HS, MFA recruit faculty under GW policies and procedures. Therefore, the MFA faculty are included in the report.

Table 2A shows the total number of new faculty in "visiting" positions. These temporary positions allow us to meet emergency staffing needs or to cover the absence of faculty on sabbatical or other leaves. University policy prevents individuals from holding a "visiting" position for more than two (2) academic years.

**TABLE 2A**  
**New Visiting Appointments**  
**October 1, 2002 through September 30, 2003**

	MEN		WOMEN		TOTAL	
White	13		21		34	
Black	0		1		1	
Asian	3		3		6	
Hispanic	2		0		2	
Am. Native	0		0		0	
Unknown	1		0		1	
<b>TOTAL</b>	<b>19</b>	<b>43.2%</b>	<b>25</b>	<b>56.8%</b>	<b>44</b>	
<b>Minorities</b>	<b>5</b>	<b>26.3%</b>	<b>4</b>	<b>16.0%</b>	<b>9</b>	<b>20.5%</b>

Table 2B shows the total number of individuals in "visiting" positions. This year the number of visiting faculty decreased by 9 (10.5%). This represents a decrease of 10 (-20.0%) men and an increase of 1 woman (2.8%).

**TABLE 2B**  
**All Visiting Appointments**  
**Academic Year 2003/04**

	MEN		WOMEN		TOTAL	
White	31		30		61	
Black	0		2		2	
Asian	4		4		8	
Hispanic	3		1		4	
Am. Native	0		0		0	
Unknown	2		0		2	
<b>TOTAL</b>	<b>40</b>	<b>51.9%</b>	<b>37</b>	<b>48.1%</b>	<b>77</b>	
<b>Minorities</b>	<b>7</b>	<b>17.5%</b>	<b>7</b>	<b>18.9%</b>	<b>14</b>	<b>18.2%</b>

Table 3 shows changes that occurred in the faculty profile from 2002-03 to 2003-04. Overall, there was a moderate decline in the number of full-time faculty (5 faculty members or 0.5%). The decrease in the number of white faculty and Hispanic women faculty (-12 and -3, respectively) accounts for most of the reduction. Faculty of color as a percentage of the total faculty population remained at 18%.

**TABLE 3**  
**Full-time Faculty and Percent Change Between**  
**Academic Years 2002/03 and 2003/04**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	593	-1.0%	-6	269	-2.2%	-6	862	-1.4%	-12
Black	20	5.3%	1	30	0.0%	0	50	2.0%	1
Asian	76	1.3%	1	43	19.4%	7	119	7.2%	8
Hispanic	11	0.0%	0	10	-23.1%	-3	21	-12.5%	-3
Am. Native	0	-100.0%	-1	1	0.0%	0	1	-50.0%	-1
Unknown	2	100.0%	1	1	N/A	1	3	200.0%	2
<b>TOTAL</b>	702	-0.6%	-4	354	-0.3%	-1	1056	-0.5%	-5
<b>Minorities</b>	107	0.9%	1	84	5.0%	4	191	2.7%	5

Table 4 compares the faculty profile in 1988-89 and 2003-04 and shows the degree of success we achieved in enriching faculty diversity. Over the fifteen-year period, the total number of faculty members increased by 195 (22.6 %). While the number of White men decreased (by 2.8% or 17 faculty members) during this period, the number of women faculty and faculty of color grew substantially (by 74.4% or 151 and 158.1% or 117, respectively). Although we continue to show long-term gains in the number of women faculty and faculty of color, we must increase our efforts to achieve further diversity, particularly in the number of Black and Hispanic faculty members.

**TABLE 4**  
**Full-Time Faculty and Percent Change Between**  
**Academic Years 1988/89 and 2003/04**

	MEN			WOMEN			TOTAL		
	03/04	Change from 88/89		03/04	Change from 88/89		03/04	Change from 88/89	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	593	-2.8%	-17	269	52.0%	92	862	9.5%	75
Black	20	150.0%	12	30	275.0%	22	50	212.5%	34
Asian	76	162.1%	47	43	168.8%	27	119	164.4%	74
Hispanic	11	0.0%	0	10	400.0%	8	21	61.5%	8
Am. Native	0	N/A	0	1	N/A	1	1	N/A	1
Unknown	2	N/A	2	1	N/A	1	3	N/A	3
<b>TOTAL</b>	702	6.7%	44	354	74.4%	151	1056	22.6%	195
<b>Minorities</b>	107	122.9%	59	84	223.1%	58	191	158.1%	117

Table 5 and Table 6 provide an eleven-year view of the number of faculty promoted and/or awarded tenure or who left the University prior to their tenure review. Between 1992-93 and 2003-04, 230 faculty members were awarded tenure. Also during this period, 99 faculty members left prior to their tenure notification date, 65 men and 34 women. Of those leaving prior to their tenure notification date, 15 were faculty of color. During 2002-03, the breakdown of faculty leaving prior to their tenure review is as follows: 5 men and 4 women, including 1 Black female and 1 Hispanic female.

**TABLE 5**  
**Faculty Promoted and Awarded Tenure 1992/93 through 2002/03 (aggregate)**  
**By Race and Sex**

<b>Promote*</b>							
	<b>TOTAL</b>	<b>MALE</b>	<b>FEMALE</b>	<b>MINORITY</b>	<b>BLACK</b>	<b>ASIAN</b>	<b>HISPANIC</b>
Arts & Sciences**	172	109	63	28	4	19	5
GSEHD	27	7	20	4	1	1	2
SEAS	38	33	5	15	0	14	1
SBPM	52	32	20	11	1	9	1
LAW	27	18	9	3	2	0	1
SMHS	115	63	52	18	5	10	3
SPHHS	11	8	3	1	0	0	1
<b>TOTAL</b>	<b>442</b>	<b>270</b>	<b>172</b>	<b>80</b>	<b>13</b>	<b>53</b>	<b>14</b>

<b>Awarded Tenure*</b>							
	<b>TOTAL</b>	<b>MALE</b>	<b>FEMALE</b>	<b>MINORITY</b>	<b>BLACK</b>	<b>ASIAN</b>	<b>HISPANIC</b>
Arts & Sciences**	101	63	38	23	3	16	4
GSEHD	14	4	10	3	1	0	2
SEAS	28	22	6	11	0	10	1
SBPM	37	29	8	10	1	8	1
LAW	20	13	7	1	0	0	1
SMHS	29	18	11	3	2	1	0
SPHHS	1	0	1	0	0	0	0
<b>TOTAL</b>	<b>230</b>	<b>149</b>	<b>81</b>	<b>51</b>	<b>7</b>	<b>35</b>	<b>9</b>

\*Faculty who are tenured appear in both charts.

\*\*Arts and Sciences includes both CCAS and ESIA.

**TABLE 6**  
**Tenure-Track Non-Tenured Faculty Terminating 1992/93 through 2002/03 (aggregate)**  
**By Race and Sex**  
**Left Before Tenure Notification Date**

	TOTAL	MALE	FEMALE	MINORITY	BLACK	ASIAN	HISPANIC
Arts & Sciences**	47	33	14	3	0	1	2
GSEHD	4	0	4	1	0	0	1
SEAS	8	7	1	2	0	1	1
SBPM	11	8	3	6	1	5	0
LAW	0	0	0	0	0	0	0
SMHS	29	17	12	3	0	1	2
SPHHS	0	0	0	0	0	0	0
<b>TOTAL</b>	<b>99</b>	<b>65</b>	<b>34</b>	<b>15</b>	<b>1</b>	<b>8</b>	<b>6</b>

We continue our efforts to prevent attrition that might result from climate problems (i.e., isolation, mentoring, etc.) and development and support issues. Over the past few years, we have worked closely with the Council of Deans and advisory committees to preserve and enhance initiatives that promote a positive and supportive work environment. (See Campus Climate)

#### FACULTY RETENTION

During the period 10/1/02 and 9/30/03, forty-five regular active status faculty left the University. Reasons for leaving included retirement, completion of temporary appointment, non-reappointment, acceptance of another position, etc. (See Appendix H1—the chart that excludes visiting faculty.)

Of the faculty who left the University, twenty-eight were men and seventeen were women. Nine faculty of color left: two Asians (2 men), two Blacks (one man and one woman), four Hispanics (three women and one man) and one Native American man.

Of the nine faculty of color who left the University, six resigned, one retired, one was not reappointed, and one left for no stated reason.

Of the thirteen White women faculty who left the University, five resigned, four retired, three were not reappointed, and one had a contract that ended.

#### INSTITUTIONAL PROFILE

On the following pages, we present the current institutional profile of the GW faculty. A more comprehensive, disaggregated, school-by-school analysis of the data is located in Appendices C and F to this report.

Tables 7, 7A, and 7B profile the regular full-time faculty by contract status. Specifically, these Tables show that:

- While 66% of the regular faculty are men, they occupy 72% of the tenured and tenure-track positions and 55% of the non-tenure-track positions. Women comprise 34% of the faculty and hold 28% of the tenured or tenure-track positions and a disproportionate 45% of the non-tenure-track positions. Eighteen percent of the regular faculty are faculty of color, but they hold 15% of the tenure/tenure-track positions and 25% of the non-tenure-track positions.
- Eighty-four percent of the tenured and tenure-track positions are in the non-medical schools, while non-tenure-track positions are almost evenly divided between the medical and non-medical schools.

**Table 7**  
**Total Faculty**  
**Tenured & Tenure Track Positions Combined**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	441	-1.1%	-5	151	0.0%	0	592	-0.8%	-5
Black	10	11.1%	1	13	-7.1%	-1	23	0.0%	0
Asian	47	0.0%	0	21	10.5%	2	68	3.0%	2
Hispanic	6	20.0%	1	7	-12.5%	-1	13	0.0%	0
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
<b>TOTAL</b>	504	-0.6%	-3	193	0.5%	1	697	-0.3%	-2
<b>Minorities</b>	63	3.3%	2	41	28.1%	9	104	2.0%	2

**Non-Tenure Track**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	152	-0.7%	-1	118	-4.8%	-6	270	-2.5%	-7
Black	10	0.0%	0	17	6.3%	1	27	3.8%	1
Asian	29	3.6%	1	22	29.4%	5	51	13.3%	6
Hispanic	5	-16.7%	-1	3	0.0%	-2	8	-27.3%	-3
Am. Native	0	-100.0%	-1	1	0.0%	0	1	-50.0%	-1
Unknown	2	N/A	2	0	N/A	0	2	N/A	2
<b>TOTAL</b>	198	0.0%	0	161	-1.2%	-2	359	-0.6%	-2
<b>Minorities</b>	46	2.2%	1	43	10.3%	4	89	6.0%	5

**Table 7A**  
**Non-Medical Faculty Tenured & Tenure-Track Positions Combined**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	361	-1.4%	-5	131	-0.8%	-1	492	-1.2%	-6
Black	9	12.5%	1	12	-7.7%	-1	21	0.0%	0
Asian	44	0.0%	0	18	12.5%	2	62	3.3%	2
Hispanic	5	25.0%	1	7	-12.5%	-1	12	0.0%	0
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
<b>TOTAL</b>	419	-0.7%	-3	169	-0.6%	-1	588	-0.7%	-4
<b>Minorities</b>	58	3.6%	2	37	0.0%	0	95	2.2%	2

**Non-Tenure Track**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	78	1.3%	1	67	-1.5%	-1	145	0.0%	0
Black	4	-20.0%	-1	7	40.0%	2	11	10.0%	1
Asian	16	14.3%	2	6	20.0%	1	22	15.8%	3
Hispanic	4	-20.0%	-1	1	-50.0%	-1	5	-28.6%	-2
Am. Native	0	-100.0%	-1	1	0.0%	0	1	-50.0%	-1
Unknown	0	N/A	0	0	N/A	0	0	N/A	0
<b>TOTAL</b>	102	0.0%	0	82	1.2%	1	184	0.5%	1
<b>Minorities</b>	24	-4.0%	-1	15	15.4%	2	39	2.6%	1

**Table 7B**  
**Medical Faculty Tenured & Tenure-Track Positions Combined**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	80	0.0%	0	20	5.3%	1	100	1.0%	1
Black	1	0.0%	0	1	0.0%	0	2	0.0%	0
Asian	3	0.0%	0	3	0.0%	0	6	0.0%	0
Hispanic	1	0.0%	0	0	N/A	0	1	0.0%	0
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	0	N/A	0	0	N/A	0	0	N/A	0
<b>TOTAL</b>	85	0.0%	0	24	4.3%	1	109	0.9%	1
<b>Minorities</b>	5	0.0%	0	4	0.0%	0	9	0.0%	0

**Non-Tenure Track**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	74	-2.6%	-2	51	-8.9%	-5	125	-5.3%	-7
Black	6	20.0%	1	10	-9.1%	-1	16	0.0%	0
Asian	13	-7.1%	-1	16	33.3%	4	29	11.5%	3
Hispanic	1	0.0%	0	2	-33.3%	-1	3	-25.0%	-1
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	2	N/A	2	0	N/A	0	2	N/A	2
<b>TOTAL</b>	96	0.0%	0	79	-3.7%	-3	175	-1.7%	-3
<b>Minorities</b>	20	0.0%	0	28	7.7%	2	48	4.3%	2

Tables 8, 8A, and 8B profile the regular, full-time faculty by rank—senior and junior positions. It is interesting to note that:

- The senior faculty in the medical schools consists of 21% women and 79% men (a one percent increase in percentage of men over last year). The senior faculty in the non-medical schools consists of 26% women and 74% men (a one percent increase in percentage of women over last year).
- The distribution of junior faculty in the medical and non-medical schools also differs—the junior faculty in medical schools consists of 56% women and 44% men; junior faculty in non-medical schools consists of 48% women and 52% men. The percentage of women faculty in junior ranks is unchanged in both groups.
- Fourteen percent of the senior faculty in both the medical and non-medical schools are people of color, while 29% of the medical junior faculty and 25% of the non-medical junior faculty are people of color.
- Last year and this year, the junior faculty gender distribution was 51% women and 49% men.
- While women faculty and faculty of color combined account for 44% of the regular faculty, they occupy 37% of the tenure/tenure-track positions, 57% of the non-tenure-track positions, 34% of the full and associate professor positions, and 63% of the assistant professor and instructor positions.

**Table 8**  
**Total Faculty**  
**Senior Ranks – Professor and Associate Professor**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	464	-0.6%	-3	140	2.2%	3	604	0.0%	0
Black	11	0.0%	0	13	0.0%	0	24	0.0%	0
Asian	45	-2.2%	-1	16	-5.9%	-1	61	-3.2%	-2
Hispanic	7	0.0%	0	6	-14.3%	-1	13	-7.1%	-1
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	2	100.0%	1	0	N/A	0	2	100.0%	1
<b>TOTAL</b>	<b>529</b>	<b>-0.6%</b>	<b>-3</b>	<b>175</b>	<b>0.6%</b>	<b>1</b>	<b>704</b>	<b>-0.3%</b>	<b>-2</b>
<b>Minorities</b>	<b>63</b>	<b>-1.6%</b>	<b>-1</b>	<b>35</b>	<b>-5.4%</b>	<b>-2</b>	<b>98</b>	<b>-3.07%</b>	<b>-3</b>

**Table 8**  
**Total Faculty**  
**Junior Ranks – Assistant Professor and Instructor**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	129	-2.3%	-3	129	-6.5%	-9	258	-4.4%	-12
Black	9	12.5%	1	17	0.0%	0	26	4.0%	1
Asian	31	6.9%	2	27	42.1%	8	58	20.8%	10
Hispanic	4	0.0%	0	4	-33.3%	-2	8	-20.0%	-2
Am. Native	0	-100.0%	-1	1	0.0%	0	1	-50.0%	-1
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
<b>TOTAL</b>	<b>173</b>	<b>-0.6%</b>	<b>-1</b>	<b>179</b>	<b>-1.1%</b>	<b>-2</b>	<b>352</b>	<b>-0.8%</b>	<b>-3</b>
<b>Minorities</b>	<b>44</b>	<b>4.8%</b>	<b>2</b>	<b>49</b>	<b>14.0%</b>	<b>6</b>	<b>93</b>	<b>9.4%</b>	<b>8</b>

**Table 8A**  
**Non-Medical Faculty Senior Ranks – Professor and Associate Professor**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	348	-1.7%	-6	115	1.8%	2	463	-0.9%	-4
Black	9	0.0%	0	9	0.0%	0	18	0.0%	0
Asian	37	-2.6%	-1	10	-9.1%	-1	47	-4.1%	-2
Hispanic	5	0.0%	0	6	0.0%	0	11	0.0%	0
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	0	-100.0%	-1	0	N/A	0	0	-100.0%	-1
<b>TOTAL</b>	<b>399</b>	<b>-2.0%</b>	<b>-8</b>	<b>140</b>	<b>0.7%</b>	<b>1</b>	<b>539</b>	<b>-0.9%</b>	<b>-5</b>
<b>Minorities</b>	<b>51</b>	<b>-1.9%</b>	<b>-1</b>	<b>25</b>	<b>-3.8%</b>	<b>-1</b>	<b>76</b>	<b>-2.6%</b>	<b>-2</b>

**Table 8A**  
**Non-Medical Faculty Junior Ranks – Assistant Professor and Instructor**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	91	2.2%	2	83	-4.6%	-4	174	-1.1%	-2
Black	4	0.0%	0	10	11.1%	1	14	7.7%	1
Asian	23	15.0%	3	14	40.0%	4	37	23.3%	7
Hispanic	4	0.0%	0	2	-50.0%	-2	6	-25.0%	-2
Am. Native	0	-100.0%	-1	1	0.0%	0	1	-50.0%	-1
Unknown	-2	N/A	-2	1	N/A	1	-1	N/A	-1
<b>TOTAL</b>	<b>120</b>	<b>1.7%</b>	<b>2</b>	<b>111</b>	<b>0.0%</b>	<b>0</b>	<b>231</b>	<b>0.9%</b>	<b>2</b>
<b>Minorities</b>	<b>31</b>	<b>6.9%</b>	<b>2</b>	<b>27</b>	<b>12.5%</b>	<b>3</b>	<b>58</b>	<b>9.4%</b>	<b>5</b>

**Table 8B**  
**Medical Faculty Senior Ranks – Professor and Associate Professor**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	116	2.7%	3	25	4.2%	1	141	2.9%	4
Black	2	0.0%	0	4	0.0%	0	6	0.0%	0
Asian	8	0.0%	0	6	0.0%	0	14	0.0%	0
Hispanic	2	0.0%	0	0	-100.0%	-1	2	-33.3%	-1
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	2	N/A	2	0	N/A	0	2	N/A	2
<b>TOTAL</b>	<b>130</b>	<b>4.0%</b>	<b>5</b>	<b>35</b>	<b>0.0%</b>	<b>0</b>	<b>165</b>	<b>1.9%</b>	<b>3</b>
<b>Minorities</b>	<b>12</b>	<b>0.0%</b>	<b>0</b>	<b>10</b>	<b>-9.1%</b>	<b>-1</b>	<b>22</b>	<b>-4.3%</b>	<b>-1</b>

**Table 8B**  
**Medical Faculty Junior Ranks – Assistant Professor and Instructor**

	MEN			WOMEN			TOTAL		
	03/04	Change from 02/03		03/04	Change from 02/03		03/04	Change from 02/03	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	38	-11.6%	-5	46	-9.8%	-5	84	-10.6%	-10
Black	5	25.0%	1	7	-12.5%	-1	12	0.0%	0
Asian	8	-11.1%	-1	13	44.4%	4	21	16.7%	3
Hispanic	0	N/A	0	2	0.0%	0	2	0.0%	0
Am. Native	0	N/A	0	0	0.0%	0	0	N/A	0
Unknown	2	N/A	2	0	N/A	0	2	N/A	2
<b>TOTAL</b>	<b>53</b>	<b>-5.4%</b>	<b>-3</b>	<b>68</b>	<b>-2.9%</b>	<b>-2</b>	<b>121</b>	<b>-4.0%</b>	<b>-5</b>
<b>Minorities</b>	<b>13</b>	<b>0.0%</b>	<b>0</b>	<b>22</b>	<b>15.8%</b>	<b>3</b>	<b>35</b>	<b>9.4%</b>	<b>3</b>

Tables 9, 9A, and 9B give a comprehensive profile of tenure and rank status. Overall, the regular full-time faculty consists of 34% women, 66% men, and 18% people of color. The non-medical faculty consists of 33% women, 67% men and 17% people of color. The medical faculty consists of 36% women, 64% men and 20% people of color.

The Medical Faculty Associates component of medical faculty consists of 33% women, 67% men and 25% people of color. (See Table 9C.)

**Table 9**  
**Total Faculty**

	Total		By Tenure Status				By Rank			
			Tenure/Tenure Track		Non-Tenure Track		Senior Ranks		Junior Ranks	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Women	354	34%	193	28%	161	45%	175	25%	179	51%
Men	702	66%	504	72%	198	55%	529	75%	173	49%
White	862	82%	592	85%	270	75%	604	86%	258	73%
Black	50	5%	23	3%	27	8%	24	3%	26	7%
Asian	119	11%	68	10%	51	14%	61	9%	58	16%
Hispanic	21	2%	13	2%	8	2%	13	2%	8	2%
Am. Native	1	0%	0	0%	1	0%	0	0%	1	0%
Unknown	3	0%	1	0%	2	1%	2	0%	1	0%
<b>TOTAL</b>	1056	100%	697	100%	359	100%	704	100%	352	100%
<b>Minorities</b>	191	18%	104	15%	87	24%	98	14%	93	26%

**Table 9A**  
**Non-Medical Faculty**

	Total		By Tenure Status				By Rank			
			Tenure/Tenure Track		Non-Tenure Track		Senior Ranks		Junior Ranks	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Women	251	33%	169	29%	82	45%	140	26%	111	48%
Men	521	67%	419	71%	102	55%	399	74%	122	52%
White	637	83%	491	84%	146	79%	463	86%	174	75%
Black	32	4%	21	4%	11	6%	18	3%	14	6%
Asian	84	11%	62	11%	22	12%	47	9%	37	16%
Hispanic	17	2%	13	2%	4	2%	11	2%	6	3%
Am. Native	1	0%	0	0%	1	1%	0	0%	1	1%
Unknown	1	0%	-1	0%	0	0%	0	0%	1	0%
<b>TOTAL</b>	772	100%	588	100%	184	100%	539	100%	233	100%
<b>Minorities</b>	134	17%	96	16%	38	21%	76	14%	58	25%

**Table 9B  
Medical Faculty**

			By Tenure Status				By Rank			
	Total		Tenure/Tenure Track		Non-Tenure Track		Senior Ranks		Junior Ranks	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Women	103	36%	24	22%	79	45%	35	21%	68	57%
Men	181	64%	85	78%	96	55%	130	79%	51	43%
White	225	79%	101	93%	124	71%	141	85%	84	71%
Black	18	6%	2	2%	16	9%	6	4%	12	10%
Asian	35	12%	6	6%	29	17%	14	8%	21	18%
Hispanic	4	1%	0	0%	4	2%	2	1%	2	2%
Am. Native	0	0%	0	0%	0	0%	0	0%	0	0%
Unknown	2	1%	2	2%	2	1%	2	1%	0	0%
<b>TOTAL</b>	284	100%	109	100%	175	100%	165	100%	119	100%
<b>Minorities</b>	57	20%	8	7%	49	28%	22	13%	35	29%

**Table 9C  
Medical Faculty Associates**

			By Tenure Status				By Rank			
	Total		Tenure/Tenure Track		Non-Tenure Track		Senior Ranks		Junior Ranks	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Women	56	33%	4	10%	52	41%	13	15%	43	53%
Men	112	67%	38	90%	74	59%	74	85%	38	47%
White	124	74%	37	88%	87	69%	70	80%	54	67%
Black	12	7%	1	2%	11	9%	4	5%	8	10%
Asian	27	16%	3	7%	24	19%	9	10%	18	22%
Hispanic	3	2%	1	2%	2	2%	2	2%	1	1%
Am. Native	0	0%	0	0%	0	0%	0	0%	0	0%
Unknown	2	1%	0	0%	2	2%	2	2%	0	0%
<b>TOTAL</b>	168	100%	42	100%	126	100%	87	100%	81	100%
<b>Minorities</b>	42	25%	5	12%	37	29%	15	17%	27	33%

In summary, these Tables demonstrate that while we continue to make progress in faculty diversity, our progress is slow and obviously, we cannot relax our efforts.

#### **PART-TIME FACULTY**

Appendix I is a profile of the limited service part-time faculty by college/school and by gender and ethnicity. The recruitment and appointment of limited service, part-time faculty is governed by the Faculty Code and Handbook and the guidelines established by individual colleges/schools and departments. Typically, a department chair, in consultation with the appropriate regular active status faculty, will establish the need for limited service hires and will recommend appointment through the appropriate dean to the Executive Vice President for Academic Affairs. The department will also establish and recommend the professional qualifications, departmental duties and rank appropriate for these hires. In keeping with University policies and procedures, part-time faculty may be appointed for an academic year (some of whom are regular, benefited) or for one semester only. As is the case for all GW personnel actions, the appointment, compensation, renewal, promotion, termination, and all other terms and conditions of appointment of limited service faculty is based solely on merit and academic need.

The part-time faculty consists of 65% men and 35% women, a distribution similar to the full-time faculty. If we exclude the faculty whose ethnicity is unknown, 15% of the part-time faculty are people of color, a smaller proportion than the 18% full-time. Looking separately at the non-medical faculty, 41% are women compared to 34% of the full-time faculty while people of color make up 13% of the non-medical part-time faculty (with known ethnicity) compared to 17% of the full-time. In the Medical Center, the proportions of women faculty and faculty of color are both less in the part-time faculty than in the full-time faculty.

#### **CAMPUS CLIMATE**

The Executive Vice President for Academic Affairs continues to promote initiatives that support faculty and that help to create a genuinely inclusive environment.

#### **Faculty Development and Support**

Faculty development, support, and retention continue to be the driving force behind a number of programs and activities. These have included: additional resources and funding for research, the University-wide new faculty orientation, and expansion of the orientation program for department chairs and program directors. The Administration, Faculty Senate, Council of Deans and department chairs have focused attention on such issues as the annual evaluation process, flexible contractual arrangements, and the review and revision of departmental by-laws and procedures. The preparation of annual faculty reports is used increasingly as an opportunity for fostering continuing faculty development.

#### **Exit Interviews**

During 2003, the Office of Faculty Recruitment and Personnel Relations (FRPR) explored the pros and cons of an exit interview program to solicit feedback from faculty who voluntarily leave the University. By collecting information on all aspects of a faculty member's association with the University, we would have valuable information that could assist us in reducing turnover and improving the quality of work life for all faculty. Primary tasks completed on this project included surveying universities (including market basket schools) to gather information about their experience with exit interviews, developing a draft survey instrument, and exploring exit interview management systems. Work on this important project has slowed due to staffing issues.

#### **Personnel Relations**

On behalf of the Executive Vice President for Academic Affairs, FRPR continues to assist deans, department chairs and faculty by providing information, advice and policy interpretation. This includes, but is not limited to:

- Helping to ensure that applicable law and University policies and procedures governing faculty are followed and applied consistently across the University,
- Working with deans and department chairs to address faculty performance issues, complaints, workplace problems/conflicts and assisting them in developing fair and equitable resolutions, and
- Confidentially counseling faculty regarding their Code-protected rights and responsibilities and helping them to develop appropriate strategies and action plans for dealing with various situations.

Since the last report, FRPR has had numerous consultations with Deans or their designees and has confidentially counseled fifteen (15) full-time and one (1) part-time faculty members on various issues including: race, sex, or national origin discrimination, workplace conflicts, Code-protected rights and responsibilities, performance issues and University policies and procedures.

### **Faculty Recruitment Activities**

**General.** FRPR continues to monitor the appointment of faculty and librarians for equal employment opportunity purposes and to counsel deans, department chairs, and search committees about University equal employment policies, and serves as a resource in support of recruitment activity in academic units. FRPR meets with school committees, department chairs, and search committees on such issues as effective planning, affirmative searches, fair and equitable processes, confidentiality, communicating with applicants/candidates, handling internal applicants/candidates, developing position criteria, evaluating dossiers, interviewing and selection strategies, and reference checking.

### **Academic Departments Survey**

Since the last report, we considered how we could best work with the Council of Deans and department chairs on strategies of action to intensify outreach to people of color overall, but with particular focus on outreach to Blacks and Hispanics. Other areas of concern were faculty development and retention. Our discussions about these matters led us to quickly surface the need for better baseline data regarding existing activity in these areas. As a result, in late fall 2003, FRPR surveyed academic departments for information about several processes and procedures. Specifically:

- **Outreach**
  - Identification of special efforts used to identify qualified women and people of color and to encourage them to apply for faculty positions (e.g., special networking sessions at professional conferences, announcements to professional associations, educational institutions, and listservs);
  - Identification of interest groups associated with their academic and professional associations that focused on issues related to women and people of color; and
  - Identification of their preferred media for posting positions that was likely to result in the largest and most diverse number of qualified applicants.
- **Faculty Development and Retention**
  - A description of the orientation process for faculty who are new to the department;
  - A description of any formal or informal faculty mentoring program; and
  - An explanation of the process for advising tenure-accruing faculty about their progress in order to ensure a successful tenure review

Our intent is to use the information provided to work with deans and department chairs to: fine tune general recruitment guidelines; improve general and department specific outreach efforts to Black and Hispanic people of color; and to develop strategies for supporting academic departments in their faculty development and mentoring activities.

### **Faculty of Color: Networking Opportunities**

The EVPAA continues to provide opportunities for faculty of color to network with colleagues across the campus, as well as to provide venues to discuss issues that affect their quality of campus life. Our goal is to sponsor, at least, one such event each academic year. This year's event, a networking luncheon, will be held on April 28, 2004.

### **Salary Equity**

We continue to monitor faculty salaries to identify and correct inequities. The Administration conducts periodic, University-wide reviews by way of the Faculty Salary Equity Committee, which is composed of representatives from the Office of Academic Affairs and the Faculty Senate. Special salary reviews, those requested by individual faculty members or their deans, are handled on a case-by-case basis. Salaries that warrant an adjustment, pursuant to our current salary Administration policy, are adjusted accordingly.

### **20003-04 Biennial Salary Equity Review**

The 2003-04 biennial salary equity review began in earnest in Fall 2003. This process is carried out, not only from the view of making sure that we are allocating salary increases based solely on merit, but also to make sure that there are no biases (racial, gender, or other) in our allocation of salaries in hiring or through any other means.

The three faculty members representing the Faculty Senate are Michael King, CCAS; Maria-Cecelia Zea, CCAS; and Ralph Mueller, GSEHD. Assistant Vice Presidents Peggye Cohen and Annie Wooldridge are serving as the main Academic Affairs staff on this project, joined this year by Barbara Marshall (Director of Faculty Personnel) and Joachim Knop (Associate Director of Institutional Research). Professor Philip Wirtz, SB is serving as consultant to the Committee.

We expect the current salary equity review process to be completed in the fall of 2004. At that time, the outcome of this process will be reported to the faculty, through the Faculty Senate. The committee has been working hard and a lot of progress has been made.

### **GW Task Force on Maternity Leave**

Since the last report, the Faculty Senate (Senate) and the GW Board of Trustees (BOT) responded to the concerns of potential and current faculty members about the impact of parental leave on tenure-track faculty. To address these concerns, the Senate passed a resolution to allow for a one-year extension of the probationary period for requesting faculty who become parents of a newborn or adopted child during the probationary period.

In the course of developing the resolution, the importance of supporting family friendly policies that are consistent with those offered by other institutions was discussed in the context of faculty recruitment and retention. It was noted that the issue of the length of time permitted for maternity leave is a common question raised during the faculty recruitment process and the suggestion was made to examine whether an enhanced policy in this area would benefit GW. As a result the EVPAA and the Executive Committee of the Faculty

Senate have appointed a Task Force on Maternity Leave to examine the maternity leave policy at GW and make any recommendations for improvement deemed appropriate. We anticipate that these recommendations will be informed by the maternity policies in place at other institutions including those in our market basket and at other institutions with which we compete for faculty. The Task Force was charged with submitting a report and recommendations by December 15, 2004.

### **University Committee on the Status of Women Faculty and Librarians**

The University Committee on the Status of Women Faculty and Librarians (Committee) was established to identify obstacles to the professional and personal development of women faculty and librarians and to increase their contributions to the University; to develop and recommend strategies to overcome obstacles and improve conditions of campus life for women faculty and librarians; and to collaborate with the Office of Academic Affairs to implement these strategies across the University. Since its inception, the Committee has held a number of meetings and seminars focusing on such issues as: development strategies for women and faculty of color, mentoring and networking, campus climate, faculty governance, strategies for promotion, tenure and renewal, the research climate at GW, parental leave and tenure clock issues and many others. The committee members continue to work with women within their respective schools and libraries to share information and solicit issues for University and committee consideration.

### **SCHOOLS ACTIVITIES**

Across the University, each School has instituted programs designed to improve the recruitment and retention of faculty in general and women faculty and faculty of color, in particular. A few illustrative examples include: mentoring programs for junior faculty, orientation workshops for all new faculty, summer research support for junior faculty, and workshops for search committees.

### **A CONTINUING CHALLENGE**

As Table 4 shows, the changes between years 1988/89 and 2003/04 give the University a great deal to be proud of regarding its faculty diversity gains. We have indeed been successful in increasing the presence of women and people of color in the faculty ranks. However, these achievements have not perfectly matched our intentions; this is particularly true of our efforts to recruit and retain Black and Hispanic faculty. As a result, we must do even more, beginning with reemphasizing our commitment to faculty diversity and fine-tuning our efforts to achieve our goals.

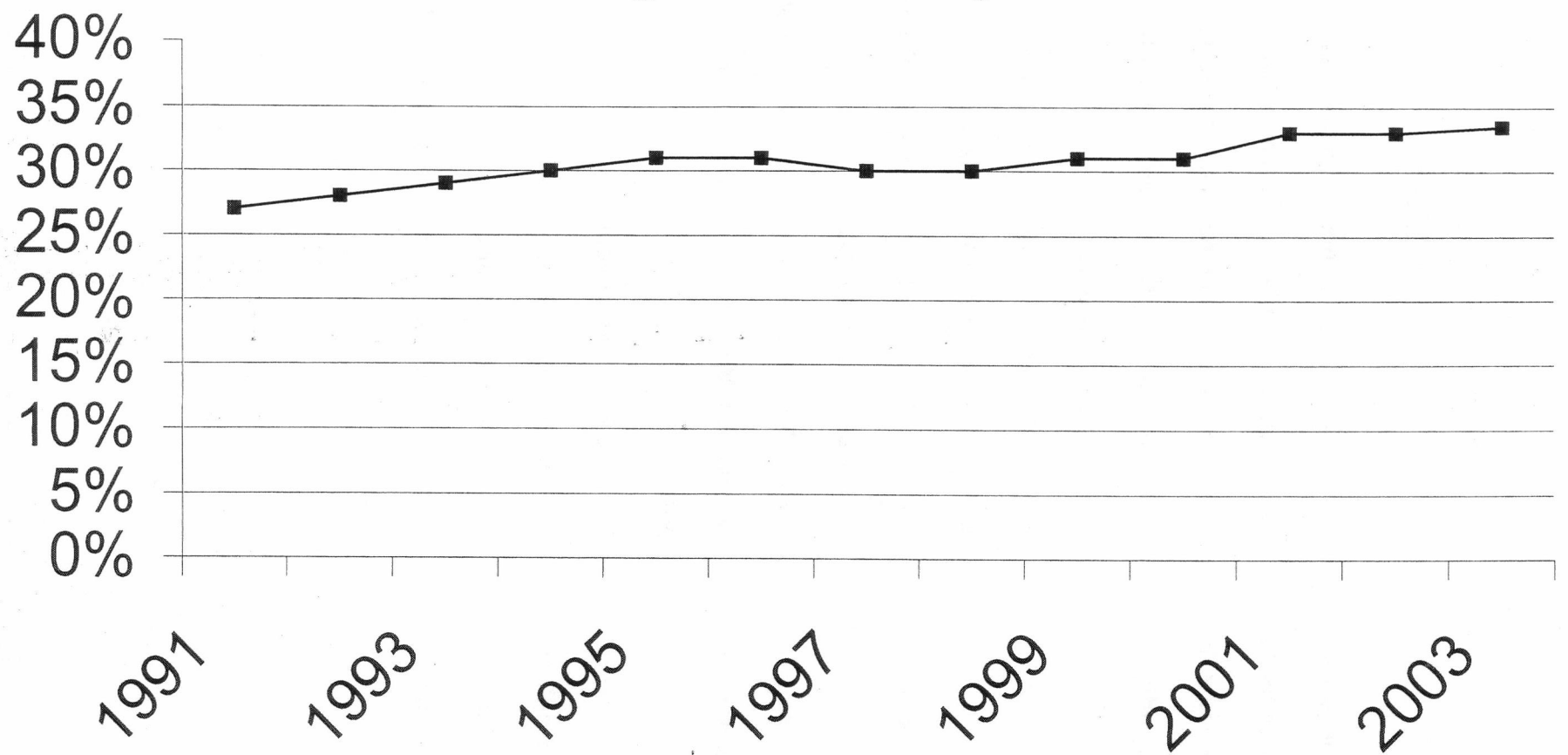
Towards that end, and in conjunction with an intensified oversight and review process at all levels, department chairs must play a key leadership role in creating a climate of intensified action and initiating dialogue around specific issues related to diversity in their departments. Deans and department chairs must be actively involved in fully, forcefully, and effectively articulating the value of diversity and the goals and objectives employed to enhance diversity on campus. They must also ensure that faculty have the opportunity to participate in planning activities and their voices are heard in the debate about what to do and how it should be accomplished.

## **APPENDICES**

- Appendix A1:** Percentage of Women Active-Status Faculty
- Appendix A2:** Percentage of Regular Active-Status Faculty of Color
- Appendix B:** New Full-Time Faculty, Academic Years 1997-98 to 2003-04
- Appendix C:** Full-time Faculty by School and Percent Change Between Academic Years 1988-89 and 2003-04
- Appendix D:** Full-time Faculty by Contract Status and Percent Change Between Academic Years 1988-89 and 2003-04
- Appendix E:** Full-Time Faculty by Rank and Percent Change Between Academic Years 1988-89 and 2003-04
- Appendix F:** 2003-04 Full-time Faculty of Color By School
- Appendix G:** Women and Minority Faculty DC Area Institutions Fall 2001 Staff IPEDS
- Appendix H1:** Full-time Faculty Terminations
- Appendix H2:** Full-time Faculty Terminations
- Appendix H3:** Full-time Faculty Terminations
- Appendix I:** Part-time Faculty by School, Gender and Ethnicity

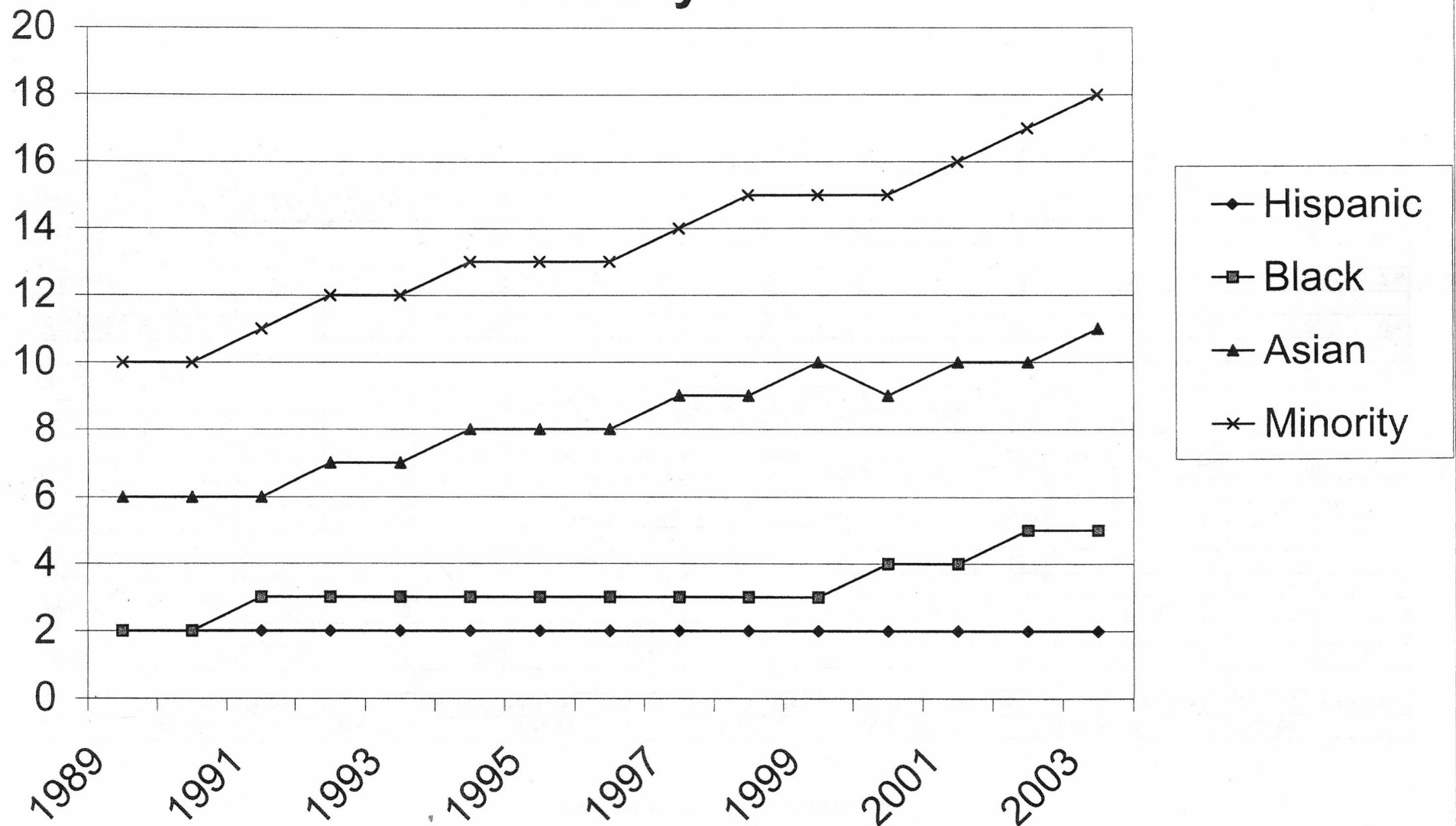
# APPENDIX A1

## Percentage of Women Active-Status Regular Faculty



## APPENDIX A2

### Percentage of Regular Active-Status Faculty of Color



## APPENDIX B

## New Full-Time Faculty

**Academic Years 1997-98 to 2003-04**

	1997-98		1998-99		1999-00		2000-01		2001-02		2002-03		2003-04	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Total	58	100%	55	100%	67	100%	78	100%	81	75%	72	100%	56	100%
Women	23	40%	20	36%	31	46%	25	32%	50	46%	25	35%	23	41%
Men	35	60%	35	64%	36	54%	53	68%	31	29%	47	65%	33	59%
White	45	78%	43	78%	56	84%	60	77%	54	50%	53	74%	39	70%
Black	2	3%	4	7%	2	3%	4	5%	10	9%	4	6%	6	11%
Asian	8	14%	6	11%	8	12%	7	9%	12	11%	10	14%	8	14%
Hispanic	3	5%	2	4%	1	1%	2	3%	3	3%	3	4%	2	4%
Am. Native	0	0%	0	0%	0	0%	0	0%	0	0%	2	3%	0	0%
Unknown	0	0%	0	0%	0	0%	5	6%	2	2%	0	0%	1	2%
Minority Total	13	22%	12	22%	11	16%	13	17%	32	30%	28	39%	28	50%

# APPENDIX C

## Full-time Faculty by School and Percent Change Between Academic Years 1988/89 and 2003/04

SCHOOL	TOTAL	MEN			WOMEN			MINORITY		
	03/04	03/04	Change from 88/89		03/04	Change from 88/89		03/04	Change from 88/89	
	Number	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
CCAS	398	245	10.4%	23	153	86.6%	71	65	225.0%	45
SBPM	113	86	14.7%	11	27	80.0%	12	25	400.0%	20
ESIA	40	31	63.2%	12	9	800.0%	8	5	400.0%	4
SEAS	86	74	7.2%	5	12	100.0%	6	19	90.0%	9
GSEHD	64	33	-250.0%	55	31	34.8%	8	11	266.7%	8
LAW	65	46	27.8%	10	19	58.3%	7	10	400.0%	8
SMHS	249	157	-26.3%	-56	92	43.8%	28	55	66.7%	22
SPHHS	35	24	N/A	24	11	N/A	11	4	N/A	4
UNIV	6	6	50.0%	2	0	0.0%	0	0	0.0%	0
<b>TOTAL</b>	1056	702	14.0%	86	354	74.4%	151	194	162.2%	120

## APPENDIX D

### Full-Time Faculty by Contract Status and Percent Change Between Academic Years 1988/89 and 2003/04 Tenured and Tenure-Track Positions Combined

	Men			Women			Total		
	03/04	Change from 88/89		03/04	Change from 88/89		03/04	Change from 88/89	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	441	-16.5%	-87	151	25.8%	31	592	-8.6%	-56
Black	10	42.9%	3	13	225.0%	9	23	109.1%	12
Asian	47	80.8%	21	21	133.3%	12	68	94.3%	33
Hispanic	6	-33.3%	-3	7	250.0%	5	13	18.2%	2
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	0	N/A	0	1	N/A	1	1	N/A	1
<b>TOTAL</b>	<b>504</b>	<b>-11.6%</b>	<b>-66</b>	<b>193</b>	<b>43.0%</b>	<b>58</b>	<b>697</b>	<b>-1.1%</b>	<b>-8</b>
<b>Minorities</b>	<b>63</b>	<b>50.0%</b>	<b>21</b>	<b>41</b>	<b>173.3%</b>	<b>26</b>	<b>104</b>	<b>82.5%</b>	<b>47</b>

# APPENDIX E

## Full-Time Faculty by Rank and Percent Change Between Academic Years 1988/89 and 2003/04 Senior Ranks - Professor and Associate Professor

	Men			Women			Total		
	03/04	Change from 88/89		03/04	Change from 88/89		03/04	Change from 88/89	
	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
White	464	-7.6%	-38	140	47.4%	45	604	1.2%	7
Black	11	83.3%	5	13	550.0%	11	24	200.0%	16
Asian	45	125.0%	25	16	100.0%	8	61	117.9%	33
Hispanic	7	-12.5%	-1	6	200.0%	4	13	30.0%	3
Am. Native	0	N/A	0	0	N/A	0	0	N/A	0
Unknown	2	N/A	2	0	N/A	0	2	N/A	2
<b>TOTAL</b>	<b>529</b>	<b>-1.3%</b>	<b>-7</b>	<b>175</b>	<b>63.6%</b>	<b>68</b>	<b>704</b>	<b>9.5%</b>	<b>61</b>
<b>Minorities</b>	<b>63</b>	<b>85.3%</b>	<b>29</b>	<b>35</b>	<b>191.7%</b>	<b>23</b>	<b>98</b>	<b>113.0%</b>	<b>52</b>

# APPENDIX F

## 2003/04 Full-time Faculty of Color By School

### Tenured and Tenure-Track Positions Combined

SCHOOL	Minority	Black	Asian	Hispanic	Am. Native
CCAS	46	10	31	5	0
SBPM	15	3	11	1	0
ESIA	4	0	3	1	0
SEAS	18	1	15	2	0
GSEHD	4	2	0	2	0
LAW	8	5	2	1	0
SMHS	9	2	6	1	0
SPHHS	0	0	0	0	0
UNIV	0	0	0	0	0
TOTAL	104	23	68	13	0

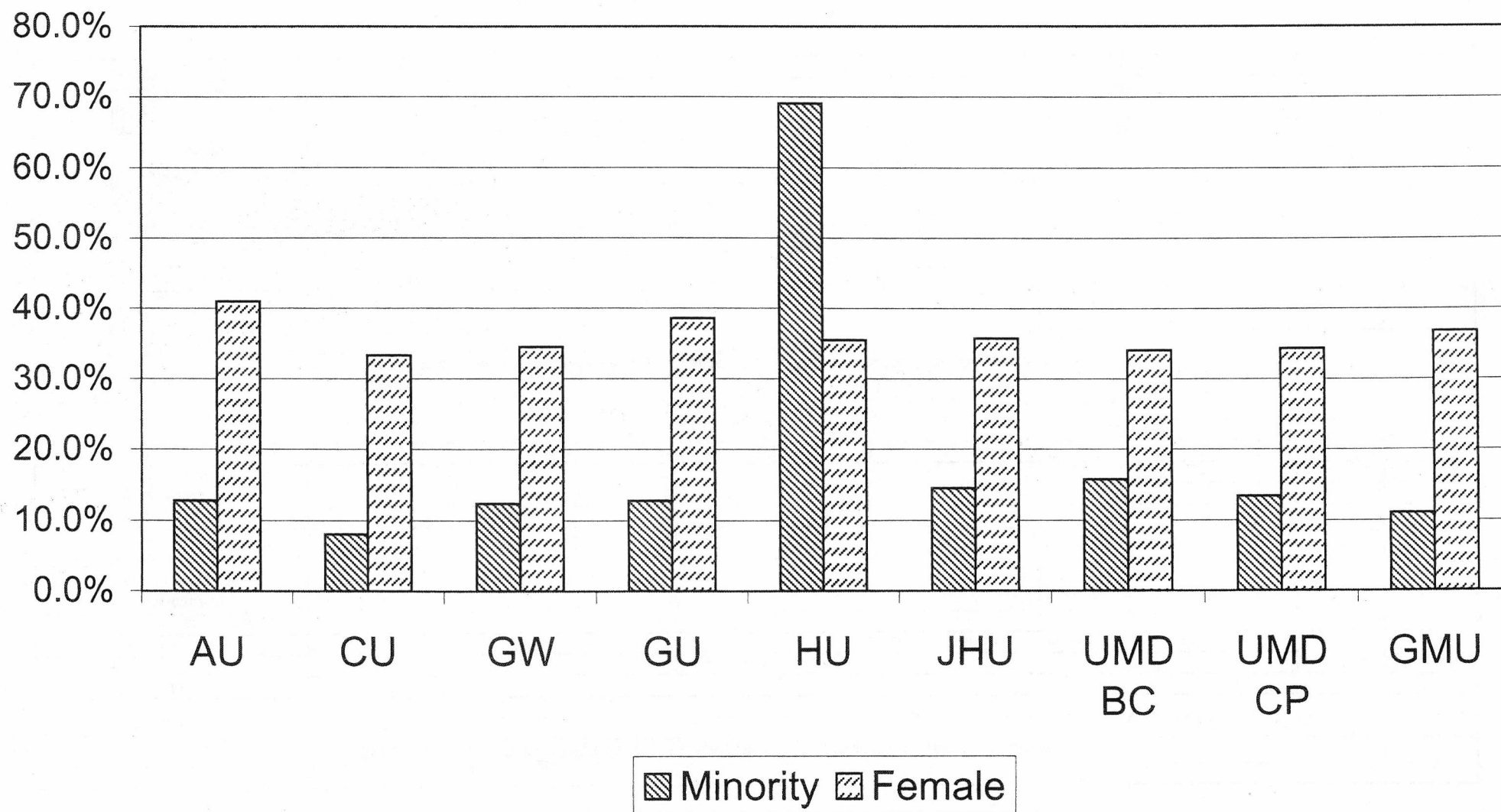
### Non - Tenure - Track

SCHOOL	Minority	Black	Asian	Hispanic	Am. Native
CCAS	19	5	11	3	0
SBPM	10	3	6	0	1
ESIA	1	1	0	0	0
SEAS	18	1	15	2	0
GSEHD	7	1	5	1	0
LAW	2	1	0	1	0
SMHS	44	16	26	2	0
SPHHS	4	0	3	1	0
UNIV	0	0	0	0	0
TOTAL	105	28	66	10	1

# Appendix G

## Women and Minority Faculty

### DC Area Institutions - Fall 2001 Staff IPEDS



Source: National Center for Education Statistics - Integrated Postsecondary Education Data System  
 Data include all full-time faculty (regular, research, and visiting)  
 IREJWK C:/Joe/IPEDS/local\_faculty.xls

**APPENDIX H1**  
**Full-time Faculty Terminations**

Terminations October 2002 through September 2003, Includes Visiting Faculty														
Count of Last	Sex	Race				Female Total	Male						Male Total	Grand Total
	Female	Asian	Black	Hispanic	White		Asian	Black	Hispanic	Indian	Unknown	White		
Term_Reason														
accepted another position					1	1						2	2	
end of contract												2	3	
no stated reason				1		1							1	
non-reappointment			1		3	4						1	5	
resigned				2	5	7	1	1	1	1		9	20	
retired					1	1						1	2	
retired emeritus					3	3	1					8	12	
temporary appointment		2	2		18	22	3		2		1	23	51	
Grand Total		2	3	3	31	39	5	1	3	1	1	46	96	
Terminations October 2002 through September 2003, Excludes Visiting Faculty														
Count of Last	Sex	Race				Female Total	Male					Male Total	Grand Total	
	Female	Black	Hispanic	White	Asian		Black	Hispanic	Indian	White				
Term_Reason														
accepted another position										2	2	2		
end of contract				1	1					2	2	3		
no stated reason			1		1							1		
non-reappointment		1		3	4					1	1	5		
resigned			2	5	7	1	1	1	1	9	13	20		
retired				1	1					1	1	2		
retired emeritus				3	3	1				8	9	12		
Grand Total		1	3	13	17	2	1	1	1	23	28	45		

## APPENDIX H2

### Full-time Faculty Terminations

#### Terminations October 2002 through September 2003, Excludes Medical Faculty

Terminations October 2002 through September 2003, Excludes Medical Faculty														
Count of Last	Sex	Race												
	Female				Female Total	Male						Male Total	Grand Total	
Term_Reason	Asian	Black	Hispanic	White		Asian	Black	Hispanic	Indian	Unknown	White			
accepted another position												2	2	2
end of contract				1	1							2	2	3
non-reappointment			1		3	4						1	1	5
resigned				2	4	6	1	1		1		8	12	18
retired					1	1								1
retired emeritus					3	3	1					8	9	12
temporary appointment	2		2		18	22	3		2		1	22	28	50
Grand Total	2		3	2	30	37	5	1	3	1	1	43	54	91

#### Terminations October 2002 through September 2003, Medical Faculty, Excludes Visiting

|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

### APPENDIX H3

#### Full-time Faculty Terminations

Terminations October 2002 through September 2003, Regular Faculty, Excludes Visiting and Medical											
Count of Last	Sex	Race									
	Female				Female Total	Male					Male Total
Term_Reason	Black	Hispanic	White		Asian	Black	Hispanic	Indian	White		
accepted another position									2	2	2
end of contract			1	1					2	2	3
non-reappointment	1		3	4					1	1	5
resigned		2	4	6	1	1	1	1	8	12	18
retired			1	1							1
retired emeritus			3	3	1				8	9	12
Grand Total	1	2	12	15	2	1	1	1	21	26	41

## APPENDIX I

PT Faculty by School, Gender and Ethnicity															
Fall 2003															
	Total	Male		Female		Minority		Black		Asian		Hispanic		Native American	
	Faculty	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.	No.	Pct.
CCAS	557	282	50.6%	275	49.4%	77	13.8%	17	3.1%	34	6.1%	26	4.7%	0	0.0%
SBPM	82	59	72.0%	23	28.0%	10	12.2%	2	2.4%	8	9.8%	0	0.0%	0	0.0%
ESIA	45	36	80.0%	9	20.0%	6	13.3%	1	2.2%	2	4.4%	3	6.7%	0	0.0%
SEAS	89	84	94.4%	5	5.6%	6	6.7%	1	1.1%	2	2.2%	3	3.4%	0	0.0%
GSEHD	77	22	28.6%	55	71.4%	15	19.5%	14	18.2%	1	1.3%	0	0.0%	0	0.0%
LAW	136	104	76.5%	32	23.5%	6	4.4%	2	1.5%	2	1.5%	2	1.5%	0	0.0%
UNIV	11	6	54.5%	5	45.5%	1	9.1%	0	0.0%	1	9.1%	0	0.0%	0	0.0%
<b>Total University*</b>	<b>997</b>	<b>593</b>	<b>59.5%</b>	<b>404</b>	<b>40.5%</b>	<b>121</b>	<b>12.1%</b>	<b>37</b>	<b>3.7%</b>	<b>50</b>	<b>5.0%</b>	<b>34</b>	<b>3.4%</b>	<b>0</b>	<b>0.0%</b>
SMHS*	1741	1218	70.0%	523	30.0%	248	14.2%	86	4.9%	118	6.8%	44	2.5%	0	0.0%
SPHHS*	194	107	55.2%	87	44.8%	29	14.9%	13	6.7%	9	4.6%	7	3.6%	0	0.0%
<b>Total Medical**</b>	<b>1935</b>	<b>1325</b>	<b>68.5%</b>	<b>610</b>	<b>31.5%</b>	<b>277</b>	<b>14.3%</b>	<b>99</b>	<b>5.1%</b>	<b>127</b>	<b>6.6%</b>	<b>51</b>	<b>2.6%</b>	<b>0</b>	<b>0.0%</b>
<b>Total</b>	<b>2932</b>	<b>1918</b>	<b>65.4%</b>	<b>1014</b>	<b>34.6%</b>	<b>398</b>	<b>13.6%</b>	<b>136</b>	<b>4.6%</b>	<b>177</b>	<b>6.0%</b>	<b>85</b>	<b>2.9%</b>	<b>0</b>	<b>0.0%</b>
*Total University Part-time Faculty count includes 55 faculty members whose ethnicities are unknown and 57 International faculty members.															
**Total Medical Part-time Faculty count includes 163 faculty members whose ethnicities are unknown.															
J:\IR\Projects\Senate03\PT_Faculty_by_School_2003.xls															
3/22/04															

# **SPECIAL REPORT ON FY04 OPER. & 5-YR CAPITAL BUDGET**

*Outline for Presentation to Faculty Senate April 9, 2004*

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## **REPORT OF THE EXECUTIVE COMMITTEE**

**Lilien F. Robinson, Chair**

**April 9, 2004**

### **MAY SENATE MEETING**

Please note that the May Senate meeting will be held on Friday, May 7, 2004. The May Senate meeting marks the beginning of the new Senate Session (2004-2005). Election of Chairs and members of Senate Standing Committees for the 2004-2005 session will take place at that time.

### **ANNUAL REPORTS FOR THE 2003-04 SESSION**

Annual Reports from Senate Standing Committees for the current Session should be submitted by the May meeting. It would be helpful to have these reports include identification of any continuing business that would be a matter for next term's Committee. Additionally, those Senate members who are not continuing as Chairs of their Committee should transmit Committee files to the new Committee Chairs.

### **STATUS OF FACULTY PERSONNEL MATTERS**

As previously reported, the hearings for one of the grievance cases in Columbian College were completed. The Hearing Committee has now issued its findings. It has denied the faculty member's grievance.

The second case, also from Columbian College, is still in the hearing stage.

### **FORTHCOMING SENATE ACTION ITEMS**

The Executive Committee anticipates placing two resolutions on the May Faculty Senate agenda. They are from the committees on Research and Physical Facilities.

### **OTHER MATTERS**

The Joint Executive Committees of the 2003-2004 and 2004-2005 Sessions will meet on April 23rd to nominate Chairs and members of the Senate Standing Committees and set the agenda for the May 9th Senate meeting. Resolutions and/or reports should be submitted to the Executive Committee before its April 23rd meeting.

As this is the last meeting of the current session, on behalf of the Executive Committee, I would like to extend sincere thanks to you for a very productive term. You have worked hard, effectively addressing a variety of carefully selected matters deeply affecting our academic community. Please be assured that your colleagues throughout the University are cognizant and appreciative of your work on their behalf.

I would like to thank President Trachtenberg and Executive Vice President for Academic Affairs Lehman for their very helpful participation in the discourses and deliberations of the Executive Committee.

Many thanks also to our dedicated colleagues on the Executive Committee for their willingness to expend enormous time, thought, and hard work on the resolution of very serious and difficult issues that confronted us during this session.

Let me also thank Sue Campbell and Nina Posidelow for their effectiveness and efficiency in facilitating the work of the Senate on a daily basis.

In preparing for this meeting, I have been reflecting not only on the current session but our work of the last three sessions. It is so clear to me that over those years we have faced perhaps the most difficult issues that those of us who have been here for many years can recall. These have been at the very heart of the role of faculty in a system of shared governance. What has been so remarkable is the faculty's level of resolve, commitment and unity. Throughout, the Faculty Senate sustained a truly impressive level of academic leadership.

I am proud of the Faculty Senate's accomplishments and grateful to have had an opportunity to work with all of you. Thank you.

**THE GEORGE WASHINGTON UNIVERSITY**  
Washington, D.C.

The Faculty Senate

March 31, 2004

The Faculty Senate will meet on Friday, April 9, 2004, at 2:10 p.m., in the Marvin Center, Room 310

**AGENDA**

1. Call to order
2. Short recess for the purpose of having a group photograph taken of the 2003-04 Faculty Senate
3. Approval of the minutes of the regular meeting of March 12, 2004, as distributed
4. Resolutions
  - (a) A RESOLUTION ON SCHOLARLY COMMUNICATION AND LIBRARY SERIALS ACQUISITIONS; Professor Sylvia A. Marotta, Chair, Senate Libraries Committee (Resolution 03/9 is attached.)
  - (b) A RESOLUTION ON THE ROLES OF FACULTY MEMBERS, SCHOOL-WIDE PERSONNEL COMMITTEES, AND ADMINISTRATION OFFICIALS IN TENURE AND PROMOTION CASES; Professor Ernest J. Englander, Chair, Committee on Professional Ethics and Academic Freedom (Resolution 03/10 is attached.)
5. Introduction of Resolutions
6. Annual Report on Women Faculty and Faculty of Color: Executive Vice President for Academic Affairs Donald R. Lehman
7. Special Report on the FY '04 and FY '05 Operating Budgets and Five-Year Capital Budgets; Professor William B. Griffith, Chair, Fiscal Planning & Budgeting Committee
8. General Business:
  - (a) Nominees for election to the Executive Committee for the 2004-05 Session proposed by the Nominating Committee: Professor Gary L. Simon, Convener (nominees to be announced)

- (b) Nomination for election of nominees to the Dispute Resolution Committee:  
Professor Kurt J. Darr as Chair for a one-year term commencing May 1, 2004;  
Professors Robert M. Dunn, Mark S. Klock, Jeffrey P. Smith, and Juliana M. Taymans for a three-year term commencing May 1, 2004
  - (c) Nomination for appointment by the President to Administrative Committees:  
Committee on the Judicial System (for a two-year term commencing September 1, 2004: Professor Michael S. Castleberry, Chair, and Professor George C. Wang;  
University Hearing Board (for a one-year term commencing September 1, 2004):  
Professors Katherine H. Goodrich and Charis E. Kubrin; Marvin Center Program Board: Professor Dana T.S. Burgess; Marvin Center Governing Board:  
Professors Mary A. Buckley, Stephen K. McGraw, Thomas J. Quasney,  
Bradley W. Sabelli
  - (d) Report of the Executive Committee: Professor Lilien F. Robinson, Chair
  - (e) Annual Reports of Senate Standing Committees
- 9. Brief Statements (and Questions)
  - 10. Adjournment

*Dennis L. Geyer*  
Dennis L. Geyer  
Secretary

## **A RESOLUTION ON SCHOLARLY COMMUNICATION AND LIBRARY SERIALS ACQUISITIONS 03/9**

**WHEREAS**, a subcommittee of the Senate Committee on Libraries studied the current status of scholarly communications and library serials acquisitions; and

**WHEREAS**, scholarly communication through published journals, both print and electronic, is central to the healthy functioning of the scholarly community, and the instruments of scholarly communication should operate for the primary benefit of scholars and students engaged in the enterprise of learning and teaching; and

**WHEREAS**, large commercial publishers are increasing prices for many journal subscriptions at a rate far exceeding the rate of inflation; and

**WHEREAS**, licensing agreements for institutions are becoming increasingly restrictive; and

**WHEREAS**, leading institutions in the US and abroad, are beginning to respond to this problem;  
**NOW, THEREFORE**

### **BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY THAT:**

1. The Faculty Senate encourages faculty members to educate themselves about this issue.
2. The Faculty Senate supports the libraries' efforts to balance priorities by deciding to cancel or not to purchase journals available only through bundle purchasing, and in some cases by purchasing newer, less established journals.
3. In reference to the production of scholarly publications, the Faculty Senate encourages faculty authors to consider accessibility when choosing where to publish their research: to consider more affordable publishers whose institutional pricing policies are in line with reasonable price increases, and to consider newer open-access publications.
4. The Faculty Senate encourages faculty who serve on editorial boards of journals to be aware of, and to the extent possible, involved in decisions concerning pricing of periodicals and thereby concerning dissemination of knowledge, scholarship, and research.

Drafted by John Heins, German and Slavic Languages, Caroline Long, Librarian,  
and Anne Linton, Librarian, on behalf of the Senate Committee on Libraries;  
Sylvia A. Marotta, Chair.

February 19, 2004

## **Resolution Concerning Scholarly Communication and Library Serials Acquisitions**

### **Preamble:**

Librarians have brought to the attention of the Faculty Senate Standing Committee on Libraries a continuing crisis in scholarly communication affecting academic libraries throughout the US and overseas, particularly in reference to serials acquisitions. As large commercial publishers are increasingly dominating the market for scholarly journals, the prices for many journal subscriptions, both print and electronic, are unjustifiably increasing at a rate far exceeding the rate of inflation. The Association of Research Libraries reports that serial costs for member libraries increased 215% over the past 15 years, while the Consumer Price Index increased only 62%. At the same time, journals are becoming subject to increasingly restrictive rules regarding use by virtue of the licensing agreements between publishers and institutional subscribers (e.g. restrictive downloading, photocopying and lending rules). At GW, the effect of these changes is a necessary decrease in the number of serials the libraries may acquire, and simultaneously an unavoidable increase in the overall cost of those we do acquire, cutting into budgets for book purchases as well. With other institutions being forced into similar cutbacks, access to scholarly output is diminishing in the aggregate. (For fuller explanations of this dynamic and a wealth of resources related to this growing international problem, faculty are invited to consult the website <http://www.gwu.edu/gelman/guides/general/scholarly.html> maintained by Caroline Long, Associate University Librarian for Collections Services.)

Leading institutions both here and abroad, including Harvard, Cornell, the University of California, and the Parliament of the UK, have begun taking strong action in response to the problem. This action in some cases has included cancelling subscriptions from certain "prime offender" publishers such as Reed Elsevier rather than submitting to their unfair use restrictions and "bundling" practices. ("Bundling" refers to a practice wherein libraries purchase electronic versions of the print journals plus many other of the publishers' titles for a modest amount beyond the cost of their paper subscriptions, only to face large price increases at renewal time. As libraries are unable to afford the increasing price of the bundle and they seek to tailor subscriptions to university research and curricula, they are forced to buy individual subscriptions at substantially higher prices.)

The resistance to the increasingly severe restriction of scholarly information will be most effective if that resistance becomes widespread in the scholarly community. The Faculty at GW has a vital stake in the acquisition of new scholarly knowledge through academic journals, and is integrally involved in the production and distribution of that knowledge through its publication in, and editorial work on, scholarly journals published by a variety of publishers. In order to address this crisis in an effective and comprehensive way, we at GW must consider not only the principles whereby the GW libraries should acquire serials, but also the principles whereby we choose to support journals by submitting our scholarly work and to accord journals our scholarly acclaim.

**Whereas:** Scholarly communication through published journals, both print and electronic, is central to the healthy functioning of the scholarly community, and the instruments of scholarly communication should operate for the primary benefit of scholars and students engaged in the enterprise of learning and teaching,

**Be it Resolved That:**

1. The Faculty Senate encourages faculty members to educate themselves about this issue.
2. Recognizing that in light of the circumstances indicated above, and in a state of quite limited resources, the GW libraries must regularly make very difficult choices among potential serials purchases, the Faculty Senate supports the libraries' efforts to balance priorities by deciding to cancel or not to purchase journals available only through bundle purchasing, and in some cases by purchasing newer, less established journals.
3. In reference to the production of scholarly publications, the Faculty Senate encourages faculty authors to consider accessibility when choosing where to publish their research: to consider more affordable publishers whose institutional pricing policies are in line with reasonable price increases, and to consider newer open-access publications.
4. The Faculty Senate encourages faculty who serve on editorial boards of journals to be aware of, and to the extent possible, involved in decisions concerning pricing of periodicals and thereby concerning dissemination of knowledge, scholarship, and research.

**A RESOLUTION ON THE ROLES OF FACULTY MEMBERS, ADVISORY SCHOOL-WIDE PERSONNEL COMMITTEES AND ADMINISTRATION OFFICIALS IN TENURE AND PROMOTION CASES (03/10)**

**WHEREAS**, the Faculty Code and authoritative documents of the American Association of University Professors ("AAUP") establish that actions on applications for tenure and promotion should be undertaken in accordance with a collaborative process that involves faculty members, advisory school-wide personnel committees, deans and the Executive Vice President for Academic Affairs ("VPAA"); and

**WHEREAS**, in view of the recent recodification of the Faculty Code and administrative actions in certain recent tenure and promotion cases, the Faculty Senate deems it a matter of great importance to survey the provisions of the Faculty Code and AAUP documents for the purpose of clarifying the principles and procedures that should be followed by faculty members, advisory school-wide personnel committees, deans and the VPAA in evaluating faculty candidates for tenure and promotion; and

**WHEREAS**, Article IV.C.2 of the Faculty Code provides that (i) "[e]ach school or comparable educational division shall establish and publish criteria on which the granting of tenure will be based to implement the factors itemized in [Article IV.C.1]"; (ii) each department shall publish any additional criteria for tenure established by that department; and (iii) "[e]ach department or nondepartmentalized school shall establish and publish the procedures followed for making decisions concerning tenure"; and

**WHEREAS**, Article IV.C.3 of the Faculty Code states that "[t]o aid faculty members in assessing their potential for achieving tenure, each department, division, or comparable program shall establish procedures for informing individual faculty members, upon request, concerning probable status with regard to tenure", while adding that "[s]uch information will not constitute a commitment to recommend tenure"; and

**WHEREAS**, Article IV.B.3 of the Faculty Code provides that (i) "[e]ach school or comparable educational division shall establish and publish criteria on which promotion shall be based"; (ii) each department shall publish any additional criteria for promotion established by that department; and (iii) "[e]ach department or nondepartmentalized school shall establish and publish the procedures followed for making decisions concerning promotions"; and

**WHEREAS**, evaluations of annual reports of faculty members by their department chairs and deans and (where applicable) renewals of the contracts of tenure-track faculty members should provide accurate, timely and detailed information to faculty members regarding their progress (or lack thereof) toward meeting the applicable criteria for tenure and/or promotion; and

**WHEREAS**, Section B.2 of the Procedures for the Implementation of the Faculty Code (hereinafter "Procedures") provides that tenured faculty members of the appropriate rank within each department or nondepartmentalized school shall make recommendations for the granting of tenure to faculty members, and for the promotion of faculty members, within such department or school; and

**WHEREAS**, (i) Section B.3 of the Procedures provides that actions concerning tenure and promotion "shall normally follow faculty recommendations" and "[d]epartures from this standard shall be limited to those cases involving compelling reasons"; and (ii) Section B.4 of the Procedures provides that "[v]ariant or nonconcurring recommendations from an administrative officer" must be accompanied by "supporting reasons"; and

**WHEREAS**, Article IV.D of the Faculty Code provides that (i) each school shall establish an elected school-wide personnel committee to consider recommendations for decisions concerning tenure and promotion; (ii) an elected standing committee, when sitting in review of a recommendation for tenure or promotion originating from a department or equivalent unit, "shall advise the dean of that school whether the candidate has met the relevant school and department criteria and whether it has identified any 'compelling reasons' that may exist for not following the department or unit recommendation"; and (iii) such "advisories" provided to the dean by an elected standing committee "shall not be construed as 'faculty recommendations' as defined by Section B.3 of the Procedures"; and

**WHEREAS**, in a Memorandum to the University's full-time faculty dated February 10, 1993 (hereinafter "1993 Memorandum") (copy attached to this Resolution as Exhibit A), the Executive Committee of the Faculty Senate described the respective roles of faculty members, advisory school-wide personnel committees, deans and the VPAA in acting on applications for tenure and promotion; and

**WHEREAS**, the 1993 Memorandum (at p. 2) provided the following explanation regarding the proper relationship between faculty recommendations concerning tenure and promotion and administrative nonconcurrences:

"For reasons of ... the specialized professional qualifications of the recommending faculty, the faculty is given a large measure of discretion by the Faculty Code. Under the Code, in the case of a nonconcurrency, a heavy burden of overcoming a presumption in favor of the Department's recommendation is placed upon the Dean. As indicated, the latter must identify the 'compelling reasons' for his/her nonconcurrency. ... Institutionally the term 'compelling reasons' has been interpreted as constituting more than a different conclusion on the part of the administrator. 'Compelling reasons' have been identified as: financial constraints of the University; programmatic constraints; failure of the faculty to conform to published promotion or tenure procedures; arbitrary and capricious recommendations; insufficient supporting evidence provided by the Department; and inadequacy of the reasons presented by the Department."

**WHEREAS**, the 1993 Memorandum also explained that (i) an administrator's nonconcurrency with a faculty recommendation concerning tenure or promotion "should be supported by findings sufficient to rebut and overcome the evidence submitted in support of the faculty recommendation" (p. 4); (ii) as established under Resolutions 91/6 and 91/9 of the Faculty Senate, advisory school-wide personnel committees are intended to serve as "decanal advisory groups" and should not "substitute their judgment for that of the Department faculty" (p. 4); and (iii) neither advisory school-wide personnel committees nor the deans are

“professionally qualified to evaluate de novo the substantive conclusions of the faculty” (pp. 5-6); and

**WHEREAS**, (i) the 1993 Memorandum was discussed in, and attached as an exhibit to, Resolution 00/2 of the Faculty Senate, adopted on October 13, 2000, and (ii) the ninth “WHEREAS” clause of that Resolution expressed the Faculty Senate’s understanding that “the University Administration is in general agreement with the interpretation of the ‘compelling reasons’ standard set forth in the 1993 Memorandum”; and

**WHEREAS**, an interpretation approved in May 1993 by the AAUP’s Committee T on College and University Government (copy attached to this Resolution as Exhibit B) endorsed “the presumption in favor of faculty judgment” on “questions of faculty status” and also provided the following explanation of the standard of “compelling reasons” set forth in the Joint Statement on Government of Colleges and Universities, which was adopted in 1966 by the AAUP, the American Council on Education, and the Association of Governing Boards of Universities and Colleges:

“Committee T concluded that a compelling reason involves more than a disagreement with faculty judgment but is not one that virtually commands a decision. Even if the administration and governing board are persuaded that the faculty judgment is incorrect, they should reverse it only on that rare occasion when they can provide convincing reasons for rejecting the faculty’s presumed academic expertise. A compelling reason should be one that plainly outweighs persuasive contrary reasons.”

**WHEREAS**, it is the sense of the Faculty Senate that, in recent instances, administrative nonconcurrences with faculty recommendations concerning tenure and promotion have raised troubling questions regarding (i) an evident lack of clarity in the criteria and procedures for tenure or promotion established by some departments and/or schools; (ii) an apparent lack of timely, accurate and detailed advice to some faculty candidates with regard to their progress (or lack thereof) toward meeting the applicable criteria for tenure or promotion; (iii) an apparent tendency by some advisory school-wide personnel committees and administrators to view their roles as allowing them the right (A) to make a de novo review of the qualifications of faculty candidates for tenure or promotion and (B) to substitute their judgment for the informed judgment of the recommending faculty; **NOW, THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY:**

That it is the sense of the Faculty Senate that particular care must be taken to observe the following principles established by the Faculty Code and authoritative AAUP documents dealing with university governance:

- 1) Each department or school should ensure that its criteria and procedures governing tenure and promotion (A) comply with Articles IV.B and IV.C of the Faculty Code and Sections B.2 and B.3 of the Procedures and (B) provide clear, specific and detailed guidance to faculty candidates regarding the standards to be applied by the

department's or school's faculty in making recommendations concerning tenure and promotion.

- 2) Each faculty appointment letter should refer to and enclose (A) the criteria for tenure and/or promotion (as applicable) established by Article IV of the Faculty Code and (B) the additional criteria established by the relevant department and/or school. Any additional expectations for performance set forth in a faculty appointment letter should be consistent with the foregoing criteria.
- 3) In providing oral and written evaluations of annual reports of a faculty member who is expected to be a future candidate for tenure and/or promotion, the responsible department chair and/or dean should provide accurate, timely and detailed advice regarding the faculty member's progress (or lack thereof) toward meeting the applicable criteria for tenure and/or promotion; provided, that such advice is not to be construed or understood as a commitment to recommend tenure or promotion.
- 4) In renewing the contract of a faculty member who is expected to be a future candidate for tenure and/or promotion, the recommending faculty and the responsible administration officials should provide the faculty member with a comprehensive analysis of his or her progress (or lack thereof) toward meeting the applicable criteria for tenure and/or promotion; provided, that such analysis is not to be construed or understood as a commitment to recommend tenure or promotion.
- 5) In reviewing a faculty recommendation for promotion or tenure, the advisory school-wide personnel committee, the dean and the VPAA do not have authority to make a de novo review of the faculty candidate's qualifications or to substitute their judgment for the judgment of the recommending faculty. In order to issue a nonconcurrency with the decision of the recommending faculty, the dean and the VPAA must each provide a detailed statement of "compelling reasons" that are sufficient to overcome the presumption in favor of the specialized professional expertise of the recommending faculty. The dean and the VPAA cannot meet this heavy burden unless the "compelling reasons" identified in their respective statements: (A) are based on a finding of (i) significant financial or programmatic constraints, (ii) the failure of the recommending faculty to conform to published tenure or promotion procedures, (iii) arbitrary or capricious action by the recommending faculty, or (iv) insufficient evidence or inadequate reasons provided by the recommending faculty; and (B) plainly outweigh the evidence and reasons provided by the recommending faculty in support of granting tenure or promotion to the faculty candidate.

Faculty Senate Committee on Professional Ethics and Academic Freedom  
March 31, 2004



## FACULTY SENATE

MEMORANDUM

February 10, 1993

TO: FULL-TIME FACULTY COLLEAGUES

FROM: Executive Committee, Faculty Senate

RE: Nonconcurrences; School-Wide Faculty Personnel Committees;  
and the Faculty Code

As you may know from the Executive Committee reports to the Senate, two Administration nonconcurrences with faculty promotion recommendations are being reviewed by the Board of Trustees.

In the process of preparing the report for the Board of Trustees and through discussions with administrative officers and faculty, it became apparent that there are distinct variances in the definition of nonconcurrences, compelling reasons, and the role of the School-Wide Personnel Committees. There are also variances regarding the reading of the Faculty Code with respect to policy and procedures.

In the accompanying report the Executive Committee has attempted to provide an institutional and current reading of policy and process with regard to nonconcurrences, compelling reasons, and the faculty role in promotion and tenure decisions. In reviewing this document, please note that the GWU Faculty Code, approved by the Board of Trustees, follows the Joint Statement on Government of Colleges and Universities developed and accepted by the AAUP, the American Council on Education, and the Association of Governing Boards of Universities and Colleges in 1966.

Enclosure

REPORT OF THE EXECUTIVE COMMITTEE OF THE FACULTY SENATE

THE FACULTY CODE: RESPECTIVE ROLES OF FACULTY AND  
ADMINISTRATION IN PROMOTION AND TENURE DECISIONS

I. OVERVIEW OF THE PROCESS

1. The review of the candidate is made by the Departmental Committee(s) on Promotion and/or Tenure in accordance with University, School, and Department criteria and procedures.
2. The recommendation is forwarded to the Academic Dean.
3. The Academic Dean seeks advice of the School-Wide Personnel Committee.
4. The Academic Dean determines whether he/she will sustain the recommendation or noncur and advises the Academic Vice President accordingly.
5. In the event of a nonconcurrence by either the Dean or the Vice President, the relevant Department and the Executive Committee are notified.
6. The Executive Committee meets separately with the Department Chair/representative; and the Dean. If a resolution cannot be achieved and neither party withdraws, the matter, with an accompanying report from the Executive Committee, is forwarded to the Board of Trustees for resolution.

## II. THE FACULTY CODE AND TENURE/PROMOTION: INTERPRETATION AND PROCEDURES

The Faculty Code provides that tenure and promotion recommendations "shall normally follow faculty recommendations" and that "departures from the standard shall be limited to those cases involving compelling reasons." A nonconcurring administrative officer must show "compelling reasons" and must give "supporting reasons" for the nonconcurrence. [Faculty Code, p.19, Par. 3 & 4]

For reasons of the special nature of faculty self-governance and the presumption of the specialized professional qualifications of the recommending faculty, the faculty is given a large measure of discretion by the Faculty Code. Under the Code, in the case of a nonconcurrence, a heavy burden of overcoming a presumption in favor of the Department's recommendation is placed upon the Dean. As indicated, the latter must identify the "compelling reasons" for his/her nonconcurrence. [Faculty Code, p.19, Par. 3]

Institutionally the term "compelling reasons" has been interpreted as constituting more than a different conclusion on the part of the administrator. "Compelling reasons" have been identified as: financial constraints of the University; programmatic constraints; failure of the faculty to conform to published promotion or tenure procedures; arbitrary and capricious recommendations; insufficient supporting evidence provided by the Department; and inadequacy of the reasons presented by the Department. The Code, as noted above, also requires that the administrative official who nonconcurs

provide "supporting reasons." [Faculty Code, p.19, Par. 4]

The George Washington University Faculty Code follows the Joint Statement on Government of Colleges and Universities, developed and accepted in 1966 by the American Association of University Professors, the American Council on Education, and the Association of Governing Boards of Universities and Colleges. The section from the Joint Statement pertaining to the role of the faculty vis-à-vis personnel actions is as follows:

Faculty status and related matters are primarily a faculty responsibility; this area includes appointments, reappointments, decisions not to reappoint, promotions, the granting of tenure, and dismissal. The primary responsibility of the faculty for such matters is based upon the fact that its judgment is central to general educational policy. Furthermore, scholars in a particular field or activity have the chief competence for judging the work of their colleagues . . . . The governing board and president should, on questions of faculty status, as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons which should be stated in detail. [AAUP, Section V, p.109, Par. 3]

It would seem reasonable to expect a nonconcurrence to include the following:

1. A statement of nonconcurrence, with explicit conclusions;
2. A reasoned justification of the nonconcurrence, citing explicit factual findings and professional judgments, and referring in explicit terms to the record submitted with the recommendation; and

3. Specific detailed findings with supporting evidence relating to the alleged shortcoming with regard to the individual faculty member's professional achievement, quality of work, and general or specific professional reputation, in order to demonstrate "compelling reasons."

The nonconcurrence, then, should be supported by findings sufficient to rebut and overcome the evidence submitted in support of the faculty recommendation.

### III. RECENT PROVISIONS IN THE FACULTY CODE: ROLES OF RESPECTIVE PARTIES

The Faculty Code, the Joint Statement, and traditional practice identify the Department Committee as the group with primary professional expertise with respect to the candidate's record. In establishing the School-Wide Personnel Committees [Senate Resolutions 91/6 and 91/9], the intent of the Faculty Senate and the Committee on Appointment, Salary, and Promotion Policies which presented the Resolutions was that these groups serve as multiple disciplinary decanal advisory groups rather than to impose a substantive judgment on top of that of the departments. They are explicitly advisory to the Dean; they were not intended to substitute their judgment for that of the Department faculty. Resolutions 91/6 and 91/9

establishing School-Wide Personnel Committees read as follows:

D. School-Wide Personnel Committees

Res. 91/6 To implement the procedures required in Sections B.3 and C.2 above, each school or college shall establish a school-wide personnel committee, either as an elected standing committee or of the school faculty acting as a committee of the whole, to consider recommendations for appointments with tenure, promotion, or tenure of regular full-time faculty. Such committees may request additional information, documentation, or clarification respecting such recommendations. Further:

1. An elected standing committee, sitting in review of recommendations originating from a department or equivalent unit, shall advise the dean of that school or college whether the candidate has met the relevant school and department criteria, and whether it has identified any "compelling reasons" which may exist for not following the departmental or unit recommendation. Such advisories shall not be construed as "faculty recommendations" as defined by Section B.3 of the Procedures for Implementation of the Faculty Code.

Res. 91/9 2. When the faculty of a school or college, sitting as a committee of the whole, serves as the school's personnel committee, and initiates recommendations to the dean for appointments and actions affecting renewal of appointments, promotion, tenure designation, and termination of service, such recommendations shall be construed as "faculty recommendations" in the sense of the Procedures, Section B.3.

The role of the Executive Committee of the Faculty Senate with respect to nonconcurrences should also be considered. Composed of one elected representative from each school, it is not intended to function as yet another committee reviewing the specific qualifications of the candidate. The Executive Committee, like the advisory personnel committees of the Schools and the Dean, is not,

as a group, professionally qualified to evaluate de novo the substantive conclusions of the faculty. The role of the Executive Committee is an institutional one, to serve the process, not to independently substitute its judgment for that of the Department faculty. It seeks to obtain an agreeable resolution through examination of both the recommendation and the nonconcurrence.

Institutional experience indicates that the interpretation of the Faculty Code and the role of the relevant groups within the tenure/promotion process, as outlined above, is appropriate. In the majority of cases, concurrence has been reached through internal discussion and debate. As verified by past experiences, the University has been effectively served by its system of faculty self-governance to solve internal problems and disagreements.

February 10, 1993

From *Academe* Sept.- Oct. 1993

## The Standard of "Compelling Reasons" in the *Joint Statement on Government of Colleges and Universities*

*An interpretation approved in May 1993 by Committee T on  
College and University Government*

Responding to inquiries from officers of several of AAUP's state conferences, Committee T discussed the "compelling reasons" standard set forth in the *Joint Statement on Government of Colleges and Universities*. The *Statement on Government* provides that "[t]he governing board and president should, on questions of faculty status, as in other matters where the faculty has primary responsibility, concur with the faculty judgment except in rare instances and for compelling reasons which should be stated in detail." What, members of Committee T considered, are reasons that can be described as compelling? Committee members noted in their discussion that the "compelling reasons" standard calls for something much stronger than mere disagreement with a faculty judgment. The standard should be consistent with the provision in the *Statement on Government* that the faculty has primary responsibility for faculty status and related matters. It would be inconsistent, however, with broader principles of shared authority and collegiality to expect the administration and governing board to resist the presumption in favor of the faculty judgment only if they can show that their reason for doing so is compelling in the sense of irresistible.

Committee T concluded that a compelling reason involves more than disagreement with faculty judgment but is not one that virtually commands a decision. Even if the administration and governing board are persuaded that the faculty judgment is incorrect, they should reverse it only on that rare occasion when they can provide convincing reasons for rejecting the faculty's presumed academic expertise. A compelling reason should be one which plainly outweighs persuasive contrary reasons.

**Faculty Senate  
Fiscal Planning and Budgeting Committee**

***Special Report on FY 2004 Operating Budget and Five Year Capital Budget  
Prepared by Professors Griffith, Packer, Watson, and Yezer***

**I. Summary**

This report provides an overview of the current operating and proposed capital budgets, enrollments trends, and faculty positions. This is followed by discussions of the University's fixed tuition plan for undergraduates, debt policies, development efforts, classroom availability, and legal costs.

The Committee has reviewed the University's current and proposed strategies and has found several areas of concern.

*i. The manner in which risks are being managed. Specifically,*

\* For some time short-term interest rates have remained low and the University has taken advantage of this by using short-term financing for long-term (real estate) development projects. Although inflation expectations are not a significant issue at this time, the growing Federal budget deficit and the potential for significant capital outflows from the US could raise both short-term and long term-rates. These changes could occur rapidly enough to preclude any lengthening of the maturity of University's debt at relatively low long-term rates. In addition, the University's location makes it susceptible to the adverse effects of a homeland security problem in DC, which could leave the University with no access to credit or access to credit at only very high interest rates.

\* If the Committee has understood the University's fixed tuition strategy correctly, it appears that the plan will be used to shift future tuition revenue to the present and will increase the risk faced by the University. Considered independently, the use of short-term financing and the fixed tuition plan appear to expose the University to unique risks. Even more problematic is the fact the risks are related. For example, an acceleration of inflation may prompt the FED to raise short-term interest rates significantly. The inflation effect would raise short-term interest rates, along with most other costs, while the fixed tuition plan would preclude raising revenue from

admitted classes to offset these costs. Another example is a homeland security problem in downtown DC. This would make it difficult to raise tuition revenue for an incoming class and would make it difficult to obtain any short-term financing. As with an acceleration in inflation, a homeland security problem has the potential to increase the interest rate risk of short-term financing and to increase the pricing risk inherent in the fixed tuition plan.

*ii. Development.* In comparison to its competitors, the University spends relatively little on development efforts. It seems likely that any increase in spending in this area would be more than offset by additional gifts. However, there appear to be no near-term plans to strengthen the University's development office.

*iii. Classroom availability.* As a result of renovations to Fonger, Monroe, and Government, there will be reductions in the University's classroom inventory over the next few years. If the renovations that are proposed for either Monroe or Government are not finished in a timely manner then, relative to the current semester, the University could have 10% fewer classrooms that seat between 20 and 35 students, 35% fewer classrooms that seat between 35 and 50 students, and 40% fewer classrooms that seat between 50 and 100 students in the Fall of 05.

## **II. Overview of Current and Proposed Budgets**

### **A. FY 04 operating and FY 04 - 07 capital budgets**

The proposed University operating and capital budgets are presented below. As in the recent past, tuition, net of aid, and auxiliary enterprises are expected to provide the majority of revenue, 72% and 20%, respectively. It should be noted that most of the revenue from auxiliary enterprises comes from student housing and services, so that close to 90% of revenue is based on enrollments. The difference between revenue and expenditures is about \$37,000,000. A large share of this figure, nearly \$13,000,000 is held in reserve to cover the possibility that the University's cost of short-term financing might unexpectedly increase. While this strategy lessens the risk of default, it does not lessen interest rate risk, an issue that is addressed below.

The proposed capital budget— for FY 04 to FY 07 — will allocate nearly equal amounts to academic buildings and student housing, which account for almost all of the expected expenditures. Within these two categories, almost all expenditures are directed to new construction and major renovations. A large fraction of these expenditures, 87%, is to be financed with debt. If all the projects are carried out, the additions to the University's debt will amount to \$167,180,000. The University plans to retire about \$100,000,000 in debt before FY 07, so that the University's debt will be about \$764,601,000 (including debt on endowment property) in FY 07. If the rate of growth in the endowment is unchanged, the University's debt will be very close to the value of its endowment by FY 07.

**FY 04 Revenue and expenses (thousands of dollars)**

Revenues	FY 04 proposed	Expenses	FY 04 proposed
Tuition/fees	422,813	Salaries/wages	210,371
Less financial aid	(107,188)	Fringe benefits	47,931
= Net tuition/fees	315,625	Purchased services	49,681
Indirect cost recovery	8,678	Supplies	7,840
Auxiliary enterprises	86,223	Cost of goods sold	0
Contributions- net	10,390	Equipment	12,812
Other income	18,020	Bad debt	4,174
		Occupancy	34,914
		Scholarships/fellowships	5,491
		Communications	5,986
		Travel/training	5,676
		Other	16,275
Total revenue	438,936	Total expenses	401,151

**FY 04 Other changes in net assets (thousands of dollars)**

Other increases (decreases) in net assets	FY 04 proposed
Debt service and mandatory purposes	(41,556)
Endowment support	24,860
Capital expenditures	(7,680)
Support/investment	(9,328)
Total other changes in net assets	(33,704)

**FY 04 Summary**

Total revenue - total expenses	\$37,785,000
Total revenue - total expenses + other changes in net assets = operating results	\$4,081,000
Operating results - Interest rate reserve (\$1,900,000) - Investment property reserve (\$700,000) = Net operating result	\$1,481,000

**FY 04 - 07 Capital budget by activity (thousands of dollars)**

Activity	Academic	Institutional support	Housing	Recreation/ student life	Other	Total
<b>FY 04</b>						
Repair, renewal	2,122	908	1,250	1,110	0	5,390
New construction, major renovations	19,808	1,212	53,452	1,016	3,000	78,488
<b>Total</b>	<b>21,930</b>	<b>2,120</b>	<b>54,702</b>	<b>2,126</b>	<b>3,000</b>	<b>83,878</b>
<b>FY 05 - FY 07</b>						
Repair, renewal	3,169	2,356	3,780	2,095	0	11,400
New construction, major renovations	68,534	0	28,435	1,248	0	98,217
<b>Total</b>	<b>71,703</b>	<b>2,356</b>	<b>32,215</b>	<b>3,343</b>	<b>0</b>	<b>109,617</b>
<b>Total over all years</b>	<b>93,633</b>	<b>4,476</b>	<b>86,917</b>	<b>5,469</b>	<b>3,000</b>	<b>193,495</b>

**FY 04 - 07 Capital budget by funding sources (thousands of dollars) <sup>1</sup>**

Funding source	Repair, renewal	New construction, major renovation	FY 04 - FY 07 total	%
Debt	3,330	163,850	167,180	87%
Capital reserves	4,177	0	4,177	2%
Gifts	0	12,125	12,125	6%
Endowment	555	0	555	0%
Operations	8,728	730	9,458	5%
<b>Total</b>	<b>16,790</b>	<b>176,705</b>	<b>193,495</b>	<b>100%</b>

<sup>1</sup> Figures exclude the Medical Center

**B. Projections for FY 05.**

As a result of an estimated increase in graduate enrollments of 16%, the University projects increased revenue of \$33,000,000 in FY 05. (This figure does not include the \$5 million reserve that will be created for the fixed tuition plan.) It also intends to reallocate \$4,500,000. To accomplish this, Deans of the several schools and all administrative units are being required to sequester 1.6% of their budgets.

### C. Growth in enrollments and growth in faculty

Enrollments (on campus) by degree program and the number of faculty positions are given in the tables below. Between 1998 and 2003, undergraduate enrollments rose 42%, MA enrollments rose 13%, and Ph.D. enrollments rose 5%. During the same time period, the number of non-tenure faculty grew by 48%, the number of tenure track faculty grew by 5%, and the number of limited service faculty was relatively constant (apart from a significant spike in 2002).

**Enrollments**

Degree program	Year					
	98	99	00	01	02	03
Undergraduate (FT)	6385	6955	7433	8318	8746	9086
MA (FT & PT, on campus)	3631	3619	3638	3809	4008	4092
Ph. D. (on campus)	1275	1286	1223	1250	1293	1344

**Faculty**

Faculty status		Year					
		98	99	00	01	02	03
Regular active	Tenure track	526	538	540	539	552	550
	Non-tenure track	121	126	140	169	175	179
	Total	647	664	680	708	727	729
Limited service		606	656	678	626	834	630

The growth in enrollments has been matched very closely by the growth in non-tenure track faculty. To the extent that the recent growth in enrollment is a temporary phenomenon, the strategy of hiring non-tenure track faculty may be reasonable, particularly in light of the fact that most of the growth in enrollments has been at the undergraduate level. However, the cost of this strategy is that such faculty cannot be expected to have the same commitment to the University as their tenure track counterparts.

The rapid growth in enrollments has not been matched by the requisite planning. Infrastructure is inadequate, a problem that is highlighted in the discussion of classroom availability below, and it is unclear what sorts of plans the University has made that would satisfactorily deal with potential enrollment limits imposed by the District government. These problems may be compounded as a result of the University's decision to offer fixed tuition packages to undergraduates. As will be discussed later

in this report, such a program increases the financial risks faced by the University, at a time when the University has little slack in dealing with variations in enrollments.

There is some concern that resources that could be used to support the increase in enrollments is being inefficiently allocated to administrative expenses. It is difficult to determine whether this has occurred; the only evidence available is the fraction total expenses devoted to institutional support at GW and its competitors. These figures, given below, suggest that GW's institutional costs are higher than average and higher than all but one competitor.

**Institutional support and total expenses (FY 02, thousands of dollars)**

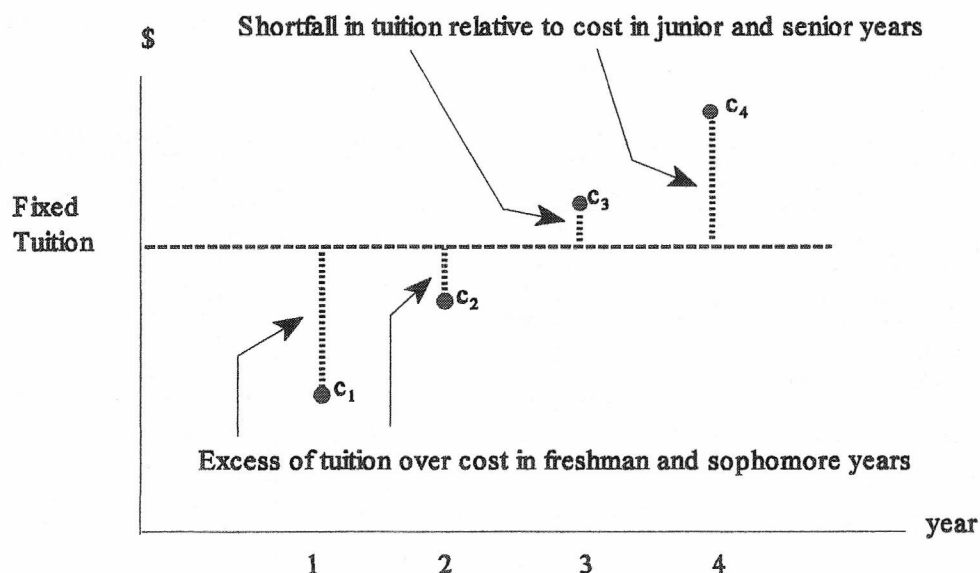
University	Institutional support	Total expenses	Institutional support as a percentage of total expenses
Northwestern University	80,725	921,225	8.8%
Duke University	83,373	2,416,710	3.4%
Vanderbilt University	62,217	1,558,961	4.0%
University of Pennsylvania	154,471	3,310,930	4.7%
Tulane University	56,441	554,639	10.2%
New York University	140,910	1,836,812	7.7%
Boston University	117,650	1,008,452	11.7%
<b>George Washington University</b>	<b>63,412</b>	<b>608,002</b>	<b>10.4%</b>
Average	94,899	1,526,966	6.2%

### III. Fixed tuition plan

The University has instituted a fixed tuition plan for the incoming undergraduate class. This should be a popular alternative for most students and their parents because it shifts most of the risk in financing education costs to the University. While the Committee has had some discussions with the Administration about this plan, the Committee has not learned how the fixed tuition payment will be chosen and how tuition revenue will be matched with the cost of education. These are very basic issues and, absent more information, the Committee can only describe the manner in which the Committee *believes* the plan might function and some of the possible risks the plan may create.

The Committee believes that the plan might work in the following way. Each year the University would forecast the cost of education, per student, over the next four years. Suppose that the University finds that it will cost  $c_1$  to educate an incoming student,  $c_2$  to educate that student in her sophomore year,  $c_3$  for the student's junior year, and  $c_4$  for the student's senior year. These figures appear in the diagram below, where it is assumed that the cost of education is expected to increase over the next four years. Suppose that the University sets a fixed tuition amount equal to the average of these costs over the next four years— that is, the average of  $c_1$ ,  $c_2$ ,  $c_3$ , and  $c_4$ . The average is given

by the horizontal line in the diagram below (fixed tuition). In each year the student pays this fixed tuition amount, so that in the freshman and sophomore



years, the fixed tuition payment is above the cost of education and in the junior and senior years, the fixed tuition payment is below the cost of education. Clearly, in order to fund the shortfall in costs in the junior and senior years, the University should hold the excess of tuition over costs in the freshman and sophomore years in reserve.

Compare this scheme to the usual practice of changing tuition every year. If the tuition charges each year were equal to costs,  $c_1$ ,  $c_2$ ,  $c_3$ , and  $c_4$ , and students might expect to pay these amounts at GW's competitors, students would find the fixed tuition plan attractive. Their total tuition payments would be the same at GW or one its competitors and students would not face the possibility that tuition could change unexpectedly in the future. Thus, the fixed tuition plan eliminates any risk in the cost of education, which may explain why it appears to have been well received by students and parents. The risk in the cost of education is shifted from students to the University, which means that the University could actually choose a fixed tuition level that is slightly above the four year average; that is, in return for taking on this risk, GW could charge some premium. The issue of what this premium might be is ignored here and we will focus on the sort of simple scheme described above.

The explanation above assumed that the fixed tuition payment would be based on a four year moving average of educational costs. This is not the only way in which the payment could be determined. For example, it is also possible to use a four year moving average of the tuition GW's competitors might be expected to charge. However, because GW is essentially tuition driven, the

method we describe represents a lower bound on the fixed tuition payment, while using a four year moving average of competitors' expected tuition charges represents an upper bound on the fixed tuition payment.

The Committee was given estimates of the revenue that would be generated by the next incoming class compared to what might be generated were tuition allowed to vary for this particular class. These estimates are given in the table below.

**Fixed Tuition vs. Variable Tuition (if fixed scheme were not used) Revenue Estimates**

Tuition options/Enrollment	FY 05	FY 06	FY 07	FY 08	Total
Enrollment figures for Fall 04 cohort <sup>1</sup>	2,675	2,453	2,266	2,121	
Fixed tuition for Fall 04 cohort	\$34,000	\$34,000	\$34,000	\$34,000	
Variable tuition (estimated tuition were fixed scheme not used) <sup>2</sup>	\$31,000	\$32,550	\$34,178	\$35,886	
Net tuition revenue with fixed scheme (\$000) <sup>3</sup>	\$58,754	\$54,795	\$50,612	\$47,385	\$212,546
Net tuition revenue with variable tuition (estimated revenue were fixed scheme not used) (\$000)	\$54,482	\$52,458	\$50,876	\$50,014	\$207,289
Gain/(Loss) from fixed tuition (\$000)	\$5,272	\$2,337	(\$264)	(\$2,269)	\$4,716

<sup>1</sup> The enrollment figures assume that 2400 freshmen and 275 transfer students will be admitted in Fall 04. Subsequent years assume retention rates of 91.7% (first to second year), 84.7% (second to third year) and 79.3% (third to fourth year).

<sup>2</sup> As an alternative to the fixed scheme, a 5.75% increase for new students was proposed in FY 05. The remaining years assume annual increases of 5%

<sup>3</sup> Assumes a 34.3% discount rate for undergraduate aid.

The gain/loss row reflects the sort of outcome in the diagram above, with the freshman and sophomore classes generating net gains and the junior and senior classes generating net losses, though the Administration's estimates are based on future tuition, were it variable, rather than future costs of education.

Because this plan locks in tuition revenue for each cohort for four years, it makes the University's forecasts of future costs and tuition rates of its competitors more consequential. Failures in forecasting as well as failures to hold adequate reserves of tuition revenue may exacerbate the University's interest rate risk. These issues are discussed in detail in the appendix to this report.

#### IV. Debt

The following tables provide information about the University's position relative to its competitors in terms of debt to endowment ratios, the level of the University's debt and its bond ratings, and the financing of the University's debt service. With regard to the University's position relative to its

competitors, it is clear that GW's ability to cover its obligations— crudely measured by the ratio of debt to endowment— is far below average. What is more significant is the rapid growth in debt since 1999 and the policy of relying on short-term debt rather than locking in long-term rates.

Between 1999 and 2003, debt— inclusive of debt on endowment property— rose 125%. While some of this debt is tied to income producing assets, particularly new dorms, much of it has no sure source of funding. This risk has been magnified by the University's policy of financing with short-term obligations. Currently, 69% of all debt is in short-term obligations and the University's weighted average interest rate on debt was under 3% in December, 2003. The hazard of such financing is that, if short term interest rates rise, for each percentage point increase there will be an additional \$4.8 million annual cost incurred by the University. Given that the federal funds rate has fallen 5.5 percentage points in the past 3 years, should this trend be reversed, short rates would rise by more than 5 percentage points and the resulting \$24 million in annual cost would force massive budget cuts, given our inability to raise tuition further.

While the University holds a significant amount in reserve to cover the potential cost of an increase in short-term rates, this strategy does not eliminate all the interest rate risk facing the University. The reserve would allow the University to meet its obligations in the short-term— a year or two— but much of the University's debt would remain short-term. The risk is that, by not locking in low long-term rates now, the University would be left with more costly debt for a number of years.

Apparently one bond rating agency believed that the University's financial situation had changed enough by 2000 to merit a downgrade to A2. Since that time, the University's debt has increased another 30% and the University has been faced with constraints imposed by the District Zoning Board. These factors, along with the risks associated with the newly adopted fixed tuition plan, may produce another downgrade in the University's debt and, concomitantly, an increase in financing costs.

**Debt to endowment ratios for selected universities**

University	Fiscal year	
	01	02
Northwestern University	12.6%	14.8%
Duke University	29.9%	29.4%
Vanderbilt University	24.7%	31.2%
University of Pennsylvania	41.1%	42.3%
Tulane University	37.2%	51.0%
New York University	77.6%	84.6%
<b>George Washington University</b>	<b>70.4%</b>	<b>88.1%</b>
Boston University	79.7%	144.4%
Average	48.2%	62.9%

**Debt, Endowment, and Bond Ratings (thousands of dollars)**

Debt, Endowment, and Bond ratings	Fiscal year					
	99	00	01	02	03	12/31/03
Debt (excluding debt on endowment property) <sup>1</sup>	224,427	452,462	485,726	547,282	565,925	586,994
Endowment market value (net of debt on endowment property)	651,937	712,995	689,546	621,110	634,100	690,134
Moody's bond rating <sup>2</sup>	A1	A2	A2	A2	A2	A2
Standard and Poor's bond rating <sup>3</sup>	N/A	A	A	A	A	A

<sup>1</sup> Debt on endowment property was, in thousands of dollars, \$85,923 (FY99), \$82,785 (FY00), \$102,474 (FY01), \$105,801 FY(02), \$110,600 (12/31/03)

<sup>2</sup> Last confirmed on Sept. 9, 2002

<sup>3</sup> Last confirmed on August 29, 2002

**Debt service funding (thousands of dollars)**

Debt funded by specific sources	FY 98	FY 03 (estimated)	Increase	FY 07 (estimated)	Increase
Housing	\$36,174	\$168,135	\$131,961	\$238,291	\$70,156
Parking	\$7,046	\$20,608	\$13,562	\$17,879	(\$2,729)
Recreational/ student life	\$2,665	\$64,714	\$62,049	\$62,221	(\$2,493)
Investment properties	\$88,416	\$104,913	\$16,497	\$83,336	(\$21,577)
Medical Center	\$28,379	\$37,170	\$8,791	\$38,822	\$1,652
Other	\$285	\$18,580	\$18,295	\$22,256	\$3,676
Total	\$162,965	\$414,120	\$251,155	\$462,805	\$48,685
Debt funded by general revenue	\$94,501	\$275,888	\$181,387	\$301,796	\$25,908
Total debt outstanding	\$257,466	\$690,008	\$432,542	\$764,601	\$74,593
Annual debt service	\$32,021	\$35,276	\$3,255	\$60,861	\$25,585

## V. Development

The table below reports gifts and gifts as a percentage of revenue for GW and seven of its competitors in FY 02. The low gift/revenue ratio reflects, in part, the fact that GW is one of the more tuition dependent universities in the country. It also suggests that GW has not reached the point of diminishing returns in fund raising efforts and that expenditures in this area should yield significant returns. In apparent recognition of this fact, the Development budget was increased by \$1,000,000 last year, but an additional \$1,000,000 increment projected for FY 04 did not materialize, and it is unclear whether the University is preparing to follow up on this initiative.

**Gifts (thousands of dollars) and gifts as a percentage of total revenue <sup>1</sup>**

University	Gifts, FY 02	Total revenue, FY 02	Gifts as a % of revenue
Northwestern University	\$158,055	\$701,855	22.5%
Vanderbilt University	\$207,987	\$1,507,059	13.8%
Tulane University	\$59,220	\$563,044	10.5%
Duke University	\$254,978	\$2,247,022	11.3%
New York University	\$282,561	\$1,892,049	14.9%
University of Pennsylvania	\$317,575	\$3,464,081	9.2%
Boston University	\$71,778	\$904,702	7.9%
<b>George Washington University</b>	<b>\$22,702</b>	<b>\$545,844</b>	<b>4.2%</b>
Average	\$171,857	\$1,478,207	11.6%

<sup>1</sup> Total revenue includes revenue generated by academic operations and the endowment as well as auxiliary enterprises.

It is of some value to see how others in the non-profit sector view the University. One of the best known organizations that rate non-profits is Charity Navigator. This organization ranks non-profits in terms of how efficiently the non-profit raises funds; essentially, this ranking is based on the ratio of gifts to the cost of fund-raising. On that basis, GW rates quite well (at the penultimate level). This organization's Website also reports spending by major categories— fund-raising costs, program costs, and administrative costs— that is based on 990 tax return data. Total expenditures (excluding those for unrelated business activities) are broken down into expenditures on academic units (program costs), development expenditures (fund-raising), and institutional support (administrative expenditures). As the table below suggests, the University seems to be an outlier in terms of its spending patterns. While a prospective donor may be impressed with the University's efficiency in raising funds, the donor may

question why the fraction of spending on administration is more than twice the average of market basket schools. And, compared to the average of its competitors, GW allocates far less to fund-raising, an area that merits more attention.

**Expenditures by category in FY 02 <sup>1</sup>**

University	Fund-raising	Programs	Administrative	Total
Northwestern University	1.9%	92.6%	5.5%	100%
Vanderbilt University	1.0%	95.0%	3.9%	100%
Tulane University	1.8%	88.5%	9.7%	100%
Duke University	1.9%	93.0%	5.1%	100%
New York University	0.8%	92.5%	6.6%	100%
University of Pennsylvania	1.5%	90.9%	7.6%	100%
Boston University	1.0%	92.5%	6.5%	100%
<b>George Washington University</b>	<b>0.7%</b>	<b>83.1%</b>	<b>16.2%</b>	<b>100%</b>
Average	1.4%	91.0%	7.6%	100%

<sup>1</sup> This data comes from 990 returns filed by universities and is reported at <charitynavigator.org>.

## VI. Classroom availability

Given the University's line of business, one would expect that classroom space would receive somewhat more attention than it has. The most recent estimates of classroom availability, listed in the table below, suggest that there will be substantial crowding in the coming academic year; more than one half of all classrooms that seat between 50 and 100 students will be gone as a

### Foggy Bottom classroom inventory

Seating capacity	Spring 04	Fall 04 <sup>1</sup>	Fall 05 <sup>2</sup>	Fall 06
< 20	19	15	15	15
20 - 35	50	49	56 [50/52/45]	?
36 - 50	32	31	36 [31/21/21]	?
51 - 100	25	11	19 [17/16/16]	?
101 - 150	4	4	5	?
> 250	4	4	4	?
Total	134	114	135 [122/113/106]	?

<sup>1</sup> The decline in classrooms in this column relative to Spring 04 results from Fungler Hall renovations.

<sup>2</sup> The figures in this column assume Fungler returns to service, the new Business School building is completed, and all the rooms in Government and Monroe are in service. The figures in brackets correspond to what will happen if [Government is offline, Mon is online / Government is online, Mon is offline / Government is offline, Mon is offline]

result of the renovations in Fungler Hall. If renovations in Government and Monroe are not finished in a timely manner, the outlook for fall 05 could be very bleak. If neither of these buildings are available, then relative to the current semester, the University could have 10% fewer classrooms that seat between 20 and 35 students, 35% fewer classrooms that seat between 35 and 50 students, and 40% fewer classrooms that seat between 50 and 100 students.

As undergraduate enrollments are projected to remain relatively constant while graduate enrollments are projected to increase, both the reduction in classroom availability and the degree of uncertainty about classroom availability are difficult to justify. The only remedy the Administration has proposed is the altered schedule of classes, but it seems that this will not suffice, particularly if both Government and Monroe are offline.

## VII. Legal expenses

There is some concern about the increase in the University's legal expenses, which are comprised of the cost of counsel, settlements and awards in legal proceedings, and the cost of compliance. Of these costs, the only data we have relates to the cost of counsel, which has risen about

5.7% over the last five years. The cost of compliance is borne by most offices within the University and has probably grown more rapidly than any other legal cost faced by the University. Examples of such costs are the efforts of administrators to keep abreast of new regulations and to ensure that the University satisfies regulatory requirements. While compliance costs are not directly reflected in accounting statements, they do represent opportunity costs that cannot be ignored. In large part the increase in compliance cost is a function of broadening of the regulatory environment facing most universities (e.g., the new human subjects guidelines).

**Cost of counsel (thousands of dollars)**

Cost of	Fiscal year				
	99	00	01	02	03
Outside counsel <sup>1</sup>	\$2,513	\$1,987	\$3,012	\$3,178	\$2,446
Off ice of the General Counsel	\$972	\$1,238	\$1,305	\$1,644	\$1,645
Total	\$3,485	\$3,225	\$4,317	\$4,822	\$4,091

<sup>1</sup> Represents fees paid to outside counsel as reported in the University's 990 return. Does not include fees paid to outside counsel related to construction projects.

The remaining portion of legal costs, the value of settlements and awards to plaintiffs, represents the only area over which the University has much control. It would be useful to know how this category of costs has changed over time, the factors that have contributed to the number and size of awards, and the incentives, if any, the University uses to lessen these costs.

## VIII. Appendix

There are several risks associated with the fixed tuition plan and it is not clear that these have received enough attention. In particular,

1. There is a temptation to spend some or all of the fixed tuition payment in the freshman and sophomore years rather than holding the excess over cost in reserve. If this were done and the plan had to be abandoned for some reason, then the cost of education for two cohorts (juniors and seniors in one and seniors in the other) would not be covered by tuition.

Even if the plan did not have to be abandoned, it may be tempting to spend all tuition revenue as it accrues. If this were done, the "excess tuition" of the freshman and sophomore classes would cover the "excess cost" of the junior and senior classes. This strategy has some of the characteristics of a Ponzi scheme; it will work only if two "growth" conditions are met:

- a. class size stays constant or grows (e.g., if incoming class were much smaller than earlier cohorts, the scheme would fail)

b. the fixed tuition payment grows at a constant or increasing rate (e.g., if remaining competitive required that tuition remain nearly constant over a few years, after having grown rapidly, the "excess revenue" provided by the incoming class would be less than the "excess cost" of older cohorts)

The Administration plans to place some of the first year's tuition in reserve in case the plan had to be abandoned. The Committee was told that decisions concerning reserves for future cohorts would be made when the Administration had more information about the market response to the plan. If the Administration decides to hold no additional reserves for future cohorts, the fixed tuition plan will simply shift future tuition revenue to the present and this will succeed only if the two growth conditions listed above are met. If either of these conditions fail, the plan will likely have to be abandoned and the University will find that, for a period of several years, tuition will be less than costs and the University will have to borrow additional funds or draw down the endowment to cover the short-fall.

2. Unlike the current arrangements, in which tuition can be adjusted every year, the fixed scheme requires that the University make reasonably accurate forecasts for at least four years into the future. Errors in these forecasts can create problems.

a. Forecast errors in the costs of education. If some cost rises unexpectedly, the ability of GW to raise tuition for all students is clearly reduced by this scheme. Only the incoming class's tuition could be changed in the year that the higher cost is incurred; that is, the impact of the cost increase could be shifted to only 1/4 of the undergraduates immediately. In the following year, the next incoming class could bear some of this burden, etc. Thus, the ability of GW to deal with a significant cost shock is attenuated by this plan.

b. Forecast errors in the tuition charged by other schools. Suppose GW based fixed tuition on the forecast of what other schools would be charging over the next four years. If GW happens to forecast too small an increase, GW will not be able to compete as effectively because at least one cohort of students will not be paying enough in tuition. As with the cost shock described above, the ability of GW to react quickly to increase in tuition by competitors is attenuated by this plan.

If the GW forecast is too high, it may be necessary to charge the next cohort a smaller amount. Does the four year plan include a caveat that says something to the effect: "if the fixed tuition charge falls for one of the incoming classes, the fixed tuition for earlier cohorts will be reduced accordingly?" If not, the reputational costs may be significant.

3. Bond rating agencies. To the extent that bond rating agencies view this plan as increasing the risk faced by GW, its bond rating may be adversely affected.

4. Financial aid and tuition. In order to make a fixed tuition package credible, it appears that financial aid will also have to be fixed for a four year period (not necessarily at the same level each year, but the amounts of aid each year will have to be stated in advance). This means that tuition as well as financial aid will be fixed for four years, which gives the University less freedom in adjusting to

economic circumstances.

It would be desirable to diversify away some of this risk, but there do not seem to be many alternatives. The only clear possibility is to match the timing of revenue with the timing in costs; specifically, as tuition revenue for a cohort of students will be locked in for four years, it would make sense to match this revenue stream with debt service payments, which cannot occur unless the University relies more on longer-term debt.

Most of the risks described above implicitly assume that GW maintains the quality of education. This is an important assumption because it must also be made by students (parents) who consider the fixed tuition option. It should be kept in mind that a fixed tuition plan is attractive because it shifts all the risks of variation in the cost of education to GW. However, such a scheme raises the risk to the student that GW will not maintain the quality of education.

To see this, suppose that tuition is simply a four year moving average of what other schools are expected to charge and that this forecast is correct. Assume also that the tuition charged by other schools increases over time. Then by the time a student is a junior or senior the student will find that the fixed tuition charged by GW will be relatively less than the tuition charged by other schools. This will mean that the student will find it costly to transfer and, as a result, the student is more likely to stay at GW, even if the quality of education declines as time goes on. Indeed, one of the benefits of the fixed tuition plan is that it should raise the student retention rate. However, the astute parent or student may believe that GW has an incentive to deal with unforeseen problems (like unexpected cost increases) by lessening quality. While this incentive would exist whether or not tuition was fixed, a fixed tuition plan makes it more costly for the student to transfer to another institution.

It is difficult to say much about how students or parents might react to this "quality" risk. Some may discount the value of a fixed tuition plan because of this risk and others may accept the risk but be more vigilant in monitoring quality and more vocal if quality appears to be an issue.